

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

CITIGROUP GLOBAL MARKETS INC.,

Plaintiff,

-against-

VCG SPECIAL OPPORTUNITIES MASTER
FUND LIMITED f/k/a CDO Plus Master Fund
Limited,

Defendant.

No. 08 CV 5520 (BSJ)

**DECLARATION OF ALAN S. GRUBER IN OPPOSITION TO
PLAINTIFF'S MOTION FOR PRELIMINARY INJUNCTION**

Alan S. Gruber, pursuant to 28 U.S.C. § 1746, declares:

1. I am an associate at the law firm Dreier LLP, attorneys for defendant in the above-captioned action. I am duly admitted to practice in this District. I submit this declaration in opposition to plaintiff's motion for preliminary injunction. I have personal knowledge of the facts set forth herein.

2. Attached hereto as Exhibit A is a true and correct copy of the relevant excerpts from the Financial Industry Regulatory Authority's ("FINRA") BrokerCheck Report for Citigroup Global Markets Inc. evidencing its membership with FINRA.

3. Attached hereto as Exhibit B are true and correct copies of FINRA records for Jeff Gapusan, Donald Quentin, and Jaime Aldama reflecting their registration with FINRA and sole employment by CGMI, not Citibank, N.A.

I declare under penalty of perjury that the foregoing is true and correct to the best of my knowledge, information and belief.

Dated: July 23, 2008

/s/ Alan S. Gruber

EXHIBIT A

Part 1 of 3



BrokerCheck Report
CITIGROUP GLOBAL MARKETS INC.
CRD# 7059
Report #15090-60191 generated on Friday, July 18, 2008.

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Dear Investor:

FINRA has generated the following BrokerCheck report for CITIGROUP GLOBAL MARKETS INC... The information contained within this report has been provided by a FINRA brokerage firm(s) and securities regulators as part of the securities industry's registration and licensing process and represents the most current information reported to the Central Registration Depository (CRD®).

FINRA regulates the securities markets for the ultimate benefit and protection of the investor. FINRA believes the general public should have access to information that will help them determine whether to conduct, or continue to conduct, business with a FINRA member. To that end, FINRA has adopted a public disclosure policy to make certain types of information available to you. Examples of information FINRA provides include: regulatory actions, investment-related civil suits, customer disputes that contain allegations of sales practice violations against brokers, all felony charges and convictions, misdemeanor charges and convictions relating to securities violations, and financial events such as bankruptcies, compromises with creditors, judgments, and liens.

When evaluating this report, please keep in mind that it may include items that involve pending actions or allegations that may be contested and have not been resolved or proven. Such items may, in the end, be withdrawn or dismissed, or resolved in favor of the individual broker, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

The information in this report is not the only resource you should consult. FINRA recommends that you learn as much as possible about the individual broker or firm from other sources, such as professional references, local consumer and investment groups, or friends and family members who already have

established investment business relationships.

FINRA BrokerCheck is governed by federal law, Securities and Exchange Commission (SEC) regulations and FINRA rules approved by the SEC. State disclosure programs are governed by state law, and may provide additional information on brokers licensed by the state. Therefore, you should also consider requesting information from your state securities regulator. Refer to www.nasaa.org for a complete list of state securities regulators.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

CITIGROUP GLOBAL MARKETS INC. Report Summary for this Firm

CRD# 7059

SEC# 8-8177

Main Office Location390 - 388 GREENWICH STREET
NEW YORK, NY 10013-2396

Regulated by FINRA New York Office

Mailing AddressREGISTRATION DEPARTMENT
333 WEST 34TH STREET, 7TH FLOOR
NEW YORK, NY 10001

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at: <http://www.adviserinfo.sec.gov>

The report summary provides an overview of the firm's background. The firm and a securities regulator(s) have provided the information contained in this report as part of the securities industry registration and licensing process. More detailed information for this firm can be found in the firm's PDF report. Select "View Full PDF Report" to view the detailed information about this firm. The information contained in this report was last updated by the firm via Uniform Application for Broker-Dealer Registration (Form BD), the Uniform Request for Broker-Dealer Withdrawal (Form BDW), or a securities regulator via a Uniform Disciplinary Action Reporting Form (Form U6) on 07/07/2008.

Firm Profile

This firm is classified as a corporation.

This firm was formed in New York on 10/15/1998.

Its fiscal year ends in December.

Firm History

Information relating to the firm's history such as Other Business Names, Other Business, and Successions (e.g., mergers or acquisitions) can be found in the firm's full PDF report.

Firm Operations

This firm is registered with:

- the SEC
- 11 Self-Regulatory Organizations
- 53 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 24 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure of Arbitration Awards, Disciplinary, Financial, and Regulatory Events

This section includes details regarding disclosure events reported by or about this firm to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events range from disciplinary actions initiated by regulators to certain criminal charges and/or convictions, to financial disclosures such as bankruptcies, and summary information regarding arbitration awards involving securities and commodities disputes between public customers and FINRA-registered firms.

Are there events disclosed about this firm? **Yes**

The following types of disclosures were reported:

Regulatory Event
Civil Event
Arbitration

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Firm Profile

This firm is classified as a corporation.

This firm was formed in New York on 10/15/1998.

Its fiscal year ends in December.

Firm Names and Locations

This section includes details, as reported by the firm on Form BD, regarding the firm's full legal name, business and mailing addresses, the firm's "doing business as" name (i.e., "DBA" name) if different from the full legal name, and any other name by which the firm conducts business and where such name is used.

CITIGROUP GLOBAL MARKETS INC.

Doing business as CITIGROUP GLOBAL MARKETS INC.

CRD# 7059

SEC# 8-8177

Main Office Location

390 - 388 GREENWICH STREET
NEW YORK, NY 10013-2396

Regulated by FINRA New York Office

Mailing Address

REGISTRATION DEPARTMENT
333 WEST 34TH STREET, 7TH FLOOR
NEW YORK, NY 10001

Business Telephone Number

212-816-6000



Firm Profile

This section provides information relating to Direct Owners and Executive Officers as reported by the firm on Form BD.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): CITIGROUP FINANCIAL PRODUCTS INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Position 100% SHAREHOLDER

Position Start Date 09/1998

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): ARMINE, CYNTHIA ANN

1049066

Is this a domestic or foreign entity or an individual? Individual

Position CO-CHIEF COMPLIANCE OFFICER

Position Start Date 03/2006

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): BALDAUF, ANDREW JOHN

1554676

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF COMPLIANCE OFFICER - INVESTMENT ADVISORY BUSINESSES

Position Start Date 12/2005



Firm Profile**Direct Owners and Executive Officers (continued)**

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): BEGLEY, FRANCIS PATRICK

1595601

Is this a domestic or foreign entity or an individual? Individual

Position SROP

Position Start Date 04/2003

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): FORESE, JAMES ANTHONY

1406421

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 03/2008

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): FORESE, JAMES ANTHONY



Firm Profile**Direct Owners and Executive Officers (continued)**

1406421

Is this a domestic or foreign entity or an individual?

Individual

Position

CHIEF EXECUTIVE OFFICER

Position Start Date

03/2008

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

GREENE, EDWARD F.

Is this a domestic or foreign entity or an individual?

Individual

Position

GENERAL COUNSEL - CORPORATE AND INVESTMENT BANKING

Position Start Date

05/2004

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

JOHNSTON, CHARLES DEAN

861838

Is this a domestic or foreign entity or an individual?

Individual

Position

DIRECTOR OF PRIVATE CLIENT GROUP BRANCH SYSTEM - SMITH BARNEY

Position Start Date

04/2007

Percentage of Ownership

Less than 5%

Firm Profile**Direct Owners and Executive Officers (continued)**

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): JOHNSTON, CHARLES DEAN

861838

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT AND CEO - SMITH BARNEY GLOBAL PRIVATE CLIENT GROUP

Position Start Date 01/2005

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): KLEIN, MICHAEL STUART

1890478

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 01/2007

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): KRAWCHECK, SALLIE LEE

2269652



Firm Profile**Direct Owners and Executive Officers (continued)**

Is this a domestic or foreign entity or an individual?

Position

Position Start Date

Percentage of Ownership

Does this owner direct the management or policies of the firm?

Is this a public reporting company?

CHAIRMAN, CEO - SMITH BARNEY

03/2007

Less than 5%

Yes

No

Legal Name & CRD# (if any):

KRAWCHECK, SALLIE LEE

2269652

Individual

Is this a domestic or foreign entity or an individual?

Position

Position Start Date

Percentage of Ownership

Does this owner direct the management or policies of the firm?

Is this a public reporting company?

DIRECTOR

01/2007

Less than 5%

Yes

No

Legal Name & CRD# (if any):

LAGO, MARIA LOUISE

4672107

Individual

Is this a domestic or foreign entity or an individual?

Position

Position Start Date

Percentage of Ownership

CO-CHIEF COMPLIANCE OFFICER

03/2006

Less than 5%

Firm Profile**Direct Owners and Executive Officers (continued)**

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

MORGAN BUNDOCK, MICHELLE M

0002413332

Is this a domestic or foreign entity or an individual?

Individual

Position

CROP

Position Start Date

06/2001

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

No

Is this a public reporting company?

No

Legal Name & CRD# (if any):

SHARP, MICHAEL JAMES

Is this a domestic or foreign entity or an individual?

Individual

Position

GENERAL COUNSEL - SMITH BARNEY

Position Start Date

03/2003

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

TRACY, JAMES JOSEPH

1005601

Firm Profile**Direct Owners and Executive Officers (continued)**

Is this a domestic or foreign entity or an individual?

Individual

Position

EXECUTIVE VICE PRESIDENT - INVESTMENT ADVISORY SERVICES

Position Start Date

08/2007

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Legal Name & CRD# (if any):

VERRON, CLIFF

4332129

Is this a domestic or foreign entity or an individual?

Individual

Position

CHIEF FINANCIAL OFFICER

Position Start Date

07/2007

Percentage of Ownership

Less than 5%

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

No

Firm Profile

This section provides information relating to Indirect Owners, if any, as reported by the firm on Form BD.

Indirect Owners

Legal Name & CRD# (if any):

CITIGROUP GLOBAL MARKETS HOLDINGS INC.

Is this a domestic or foreign entity or an individual?

Domestic Entity

Company through which indirect ownership is established

OWNS 100% OF CITIGROUP FINANCIAL PRODUCTS INC.

Relationship to Direct Owner

100% SHAREHOLDER

Relationship Established

09/1998

Percentage of Ownership

75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

Yes

Legal Name & CRD# (if any):

CITIGROUP INC.

Is this a domestic or foreign entity or an individual?

Domestic Entity

Company through which indirect ownership is established

CITIGROUP GLOBAL MARKETS HOLDINGS INC.

Relationship to Direct Owner

100% SHAREHOLDER

Relationship Established

11/1997

Percentage of Ownership

75% or more

Does this owner direct the management or policies of the firm?

Yes

Is this a public reporting company?

Yes

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Firm History

This section provides information relating to successions (e.g., mergers or acquisitions), if any, as reported by the firm on Form BD.

No information reported.

User Guidance



Firm Operations

Registrations

This section provides information about the regulators (e.g., U.S. Securities and Exchange Commission (SEC), self-regulatory organizations, states and U.S. territories) the firm is currently registered and licensed with, the category of each registration, and the date on which the registration status became effective, as well as certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 11 SROs and 53 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	01/25/1960

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	10/16/1936
American Stock Exchange	Approved	02/25/1988
Boston Stock Exchange	Approved	01/02/1997
Chicago Board Options Exchange	Approved	06/17/1981
Chicago Stock Exchange	Approved	02/02/1986
International Securities Exchange	Approved	05/25/2000
NASDAQ Stock Market	Approved	07/12/2006
NYSE Arca, Inc.	Approved	02/26/1976
National Stock Exchange	Approved	09/07/1989
New York Stock Exchange	Approved	11/17/1982
Philadelphia Stock Exchange	Approved	01/25/1960

Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective	U.S. States & Territories	Status	Date Effective
Alabama	Approved	10/24/1981	North Carolina	Approved	07/15/1982
Alaska	Approved	11/17/1969	North Dakota	Approved	10/21/1981
Arizona	Approved	02/02/1976	Ohio	Approved	07/16/1982
Arkansas	Approved	01/01/1968	Oklahoma	Approved	07/17/1982
California	Approved	07/28/1999	Oregon	Approved	10/24/1981
Colorado	Approved	02/01/1983	Pennsylvania	Approved	05/18/1960
Connecticut	Approved	05/19/1960	Puerto Rico	Approved	09/01/1984
Delaware	Approved	10/06/1981	Rhode Island	Approved	02/01/1983
District of Columbia	Approved	04/21/1983	South Carolina	Approved	10/28/1981
Florida	Approved	04/27/1983	South Dakota	Approved	07/15/1982
Georgia	Approved	09/22/1981	Tennessee	Approved	08/17/1981
Hawaii	Approved	10/08/1998	Texas	Approved	07/25/1983
Idaho	Approved	01/01/1968	Utah	Approved	04/21/1983
Illinois	Approved	06/09/1960	Vermont	Approved	02/15/1984
Indiana	Approved	10/21/1981	Virgin Islands	Approved	04/20/2005
Iowa	Approved	07/15/1983	Virginia	Approved	09/23/1981
Kansas	Approved	02/01/1976	Washington	Approved	04/20/1983
Kentucky	Approved	07/16/1982	West Virginia	Approved	09/30/1981
Louisiana	Approved	04/20/1983	Wisconsin	Approved	01/03/1938
Maine	Approved	02/14/1984	Wyoming	Approved	05/25/1965
Maryland	Approved	10/03/1981			
Massachusetts	Approved	07/31/1981			
Michigan	Approved	02/03/1983			
Minnesota	Approved	07/15/1982			
Mississippi	Approved	10/14/1981			
Missouri	Approved	07/18/1983			
Montana	Approved	04/20/1983			
Nebraska	Approved	10/09/1981			
Nevada	Approved	07/19/1983			
New Hampshire	Approved	02/02/1983			
New Jersey	Approved	07/18/1983			
New Mexico	Approved	10/07/1981			
New York	Approved	01/02/1985			



Firm Operations

Types of Business

This section provides the types of business and any other business or other non-securities business the firm is engaged in or is expected to be engaged in as reported by the firm on Form BD.

This firm currently conducts 24 types of businesses.

Types of Business

Exchange member engaged in exchange commission business other than floor activities

Exchange member engaged in floor activities

Broker or dealer making inter-dealer markets in corporation securities over-the-counter

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

Underwriter or selling group participant (corporate securities other than mutual funds)

Mutual fund or underwriter or sponsor

Mutual fund retailer

U S. government securities dealer

U S. government securities broker

Municipal securities dealer

Municipal securities broker

Broker or dealer selling variable life insurance or annuities

Solicitor of time deposits in a financial institution

Broker or dealer selling oil and gas interests

Put and call broker or dealer or option writer

Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals)

Investment advisory services

Broker or dealer selling tax shelters or limited partnerships in the secondary market

Trading securities for own account

Private placements of securities

Broker or dealer selling interests in mortgages or other receivables

Broker or dealer involved in a networking, kiosk or similar arrangement with a: bank, savings bank or association, or credit union

Other



Other Types of Business

This firm does affect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: 11B SBHU LIFE AGENCY, INC. AND SUBSIDIARIES ENGAGE IN THE SALE OF VARIABLE ANNUITY CONTRACTS, VARIABLE LIFE INSURANCE AND OTHER INSURANCE PRODUCTS.

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Firm Operations

Clearing Arrangements

This firm does hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

User Guidance



Firm Operations Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information relating to control relationships with entities engaged in the securities, investment advisory, or banking business as reported by the firm on Form BD.

This firm is, directly or indirectly:

- in control of
- controlled by
- or under common control with the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

AUTOMATED TRADING DESK SERVICE BUREAU, LLC is under common control with the firm.

CRD #: 139626

Business Address: 11 EWALL STREET
MT. PLEASANT, SC 29464

Effective Date: 10/03/2007

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description:

CITIGROUP GLOBAL MARKETS INC. ("CGMI") IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP FINANCIAL PRODUCTS INC. ("CFPI"), A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP GLOBAL MARKETS HOLDINGS INC. ("CGHMI"). CGHMI IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP INC. AUTOMATED TRADING DESK SERVICE BUREAU, LLC ("ATDSB") IS INDIRECTLY OWNED BY CITIGROUP INC. THE APPLICANT AND ATDSB ARE INDIRECTLY OWNED BY CITIGROUP INC.

AUTOMATED TRADING DESK FINANCIAL SERVICES, LLC is under common control with the firm.

CRD #: 103768

Business Address: 11 EWALL STREET
MT. PLEASANT, SC 29464

Effective Date: 10/03/2007

Foreign Entity: No

Country:

Securities Activities: Yes

EXHIBIT A

Part 2 of 3



Organization Affiliates (continued)

Investment Advisory Activities: No

Description: CITIGROUP GLOBAL MARKETS INC. ("CGMI") IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP FINANCIAL PRODUCTS INC. ("CFPI"), A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP GLOBAL MARKETS HOLDINGS INC. ("CGHMI"). CGHMI IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP INC. AUTOMATED TRADING DESK FINANCIAL SERVICES, LLC ("ATDFS") IS INDIRECTLY OWNED BY CITIGROUP INC. THE APPLICANT AND ATDFS ARE INDIRECTLY OWNED BY CITIGROUP INC.

AUTOMATED TRADING DESK BROKERAGE SERVICES, LLC is under common control with the firm.

CRD #: 36000

Business Address: 11 EWALL STREET
MT. PLEASANT, SC 29464

Effective Date: 10/03/2007

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: CITIGROUP GLOBAL MARKETS INC. ("CGMI") IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP FINANCIAL PRODUCTS INC. ("CFPI"), A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP GLOBAL MARKETS HOLDINGS INC. ("CGHMI"). CGHMI IS A DIRECT SUBSIDIARY OF CITIGROUP INC. AUTOMATED TRADING DESK BROKERAGE SERVICES, LLC ("ATDFS") IS INDIRECTLY OWNED BY CITIGROUP INC. BOTH THE APPLICANT AND ATDFS ARE INDIRECTLY OWNED BY CITIGROUP INC.

NIKKO CORDIAL SECURITIES is under common control with the firm.

Business Address: 3-1, 3-CHOME MATRINOUCHI
CHIYODA-KU
TOKYO JAPAN

Effective Date: 04/26/2007

Foreign Entity: Yes

Country: JAPAN

Securities Activities: Yes



Organization Affiliates (continued)

Investment Advisory Activities:	Yes
Description:	CITIGROUP GLOBAL MARKETS INC. ("CGMI") IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP FINANCIAL PRODUCTS INC. ("CFPI"), WHICH IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP GLOBAL MARKETS HOLDINGS INC. ("CGHMI"). CGHMI IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP INC. THE APPLICANT AND NIKKO CORDIAL SECURITIES ARE UNDER COMMON CONTROL OF CFPI, CGHMI OR CITIGROUP INC.
CITIGROUP WEALTH ADVISORS INDIA PRIVATE LIMITED is under common control with the firm.	
Business Address:	BAKHTAWAR, 4TH FLOOR NARIMAN POINT MUMBAI INDIA 400 021
Effective Date:	03/07/2006
Foreign Entity:	Yes
Country:	INDIA
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.
LAVAFLOW, INC. is under common control with the firm.	
CRD #:	120444
Business Address:	95 MORTON STREET NEW YORK, NY 10014
Effective Date:	01/11/2006
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

LAVA TRADING, INC. is under common control with the firm.



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Firm Operations

Organization Affiliates (continued)

CRD #:	133804	
Business Address:	95 MORTON STREET NEW YORK, NY 10014	
Effective Date:	07/01/2004	
Foreign Entity:	No	
Country:		
Securities Activities:	Yes	
Investment Advisory Activities:	No	
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.	
CITIGROUP DERIVATIVES MARKETS INC. is under common control with the firm.		
CRD #:	133084	
Business Address:	130 CHESHIRE LANE SUITE 102 MINNETONKA, MN 55305	
Effective Date:	12/10/2004	
Foreign Entity:	No	
Country:		
Securities Activities:	Yes	
Investment Advisory Activities:	No	
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.	
DOM MAKLEPSKI BANKU HANDLOWEGO S.A. (POLAND) is under common control with the firm.		
Business Address:	UL SENATORSKA 16 WARSAW POLAND	
Effective Date:	08/28/1994	
Foreign Entity:	Yes	
Country:	POLAND	
Securities Activities:	Yes	

Firm Operations**Organization Affiliates (continued)**

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS REPRESENTACOEES LTDA. is under common control with the firm.

Business Address: AVE. PAULISTA, 1111
12TH FLOOR
SAO PAULO BRAZIL

Effective Date: 07/24/2001

Foreign Entity: Yes

Country: BRAZIL

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS (PTY) LIMITED is under common control with the firm.

Business Address: FIRST FLOOR, GROSVENOR CORNER
195 JAN SMUTS AVENUE
ROSEBANK 2196, JOHANNESBURG SOUTH AFRICA

Effective Date: 07/02/2001

Foreign Entity: Yes

Country: SOUTH AFRICA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS POLSKA SP. Z0.0 is under common control with the firm.

Business Address: WARSAW CORPORATE CENTRE
3RD FLOOR
UL EMILII PLATER 28 POLAND N/A

Effective Date: 05/01/2000

Foreign Entity: Yes

Firm Operations**Organization Affiliates (continued)**

Country: POLAND
 Securities Activities: Yes
 Investment Advisory Activities: No
 Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS SINGAPORE MERCHANT BANK LIMITED is under common control with the firm.

Business Address: 65 CHULIA STREET
 47-01 OCBC CENTRE
 SINGAPORE SINGAPORE 049513
 Effective Date: 05/01/2000
 Foreign Entity: Yes
 Country: SINGAPORE

Securities Activities: Yes
 Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS (GUERNSEY) LIMITED is under common control with the firm.

Business Address: SARNIA HOUSE
 LE TRUCHOT
 ST. PETER PORT GUERNSEY N/A
 Effective Date: 05/01/2000
 Foreign Entity: Yes
 Country: GUERNSEY

Securities Activities: Yes
 Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

NIKKO CITIGROUP LIMITED is under common control with the firm.

Business Address: AKASAKA PARK BUILDING
 2-20 AKASAKA 5-CHOME

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Organization Affiliates (continued)

Effective Date: MINATO-KU, TOKYO JAPAN 107-6122
 03/01/1999
 Foreign Entity: Yes
 Country: JAPAN
 Securities Activities: Yes
 Investment Advisory Activities: No
 Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

SALOMON SMITH BARNEY AUSTRALIA CORPORATE FINANCE PTY LIMITED is under common control with the firm.

Business Address: 225 GEORGE STREET
 SYDNEY, NSW AUSTRALIA 2000
 Effective Date: 09/01/1998
 Foreign Entity: Yes
 Country: AUSTRALIA
 Securities Activities: Yes
 Investment Advisory Activities: No
 Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK PRIVATKUNDEN AG is under common control with the firm.

Business Address: KASERNENSTRASSE 10
 DUSSELDORF GERMANY N/A
 Effective Date: 10/08/1998
 Foreign Entity: Yes
 Country: GERMANY
 Securities Activities: Yes
 Investment Advisory Activities: No
 Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK INTERNATIONAL PLC is under common control with the firm.

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Organization Affiliates (continued)

Business Address:	336 STRAND LONDON ENGLAND WC2R 1HB
Effective Date:	10/08/1998
Foreign Entity:	Yes
Country:	ENGLAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS CHINA LIMITED is under common control with the firm.	
Business Address:	8 CONNAUGHT PLACE, 20TH FLOOR VICTORIA HONG KONG N/A
Effective Date:	09/01/1998
Foreign Entity:	Yes
Country:	HONG KONG
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK MALAYSIA (L) LIMITED is under common control with the firm.	
Business Address:	JALAN MERDEKA LABUAN, SABAH MALAYSIA 87000
Effective Date:	10/08/1998
Foreign Entity:	Yes
Country:	MALAYSIA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK ARUBA N.V. is under common control with the firm.

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Firm Operations**Organization Affiliates (continued)**

Business Address: ARULEX CENTER
 PUNTA BRABO
 ORENJESTAD ARUBA N/A
Effective Date: 10/08/1998
Foreign Entity: Yes
Country: ARUBA
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

BANCO CITIBANK S.A. is under common control with the firm.

Business Address: AVENIDA PAULISTA, 111
 SAO PAULO
 SAO PAULO BRAZIL 01311
Effective Date: 10/08/1998
Foreign Entity: Yes
Country: BRAZIL
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK CANADA is under common control with the firm.

Business Address: 251 FRONT STREET
 TORONTO, ONTARIO CANADA M5J 2M3
Effective Date: 10/08/1998
Foreign Entity: Yes
Country: CANADA
Securities Activities: Yes
Investment Advisory Activities: No



**Firm Operations****Organization Affiliates (continued)**

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK BERHAD is under common control with the firm.

Business Address: 28 MEDAN PASAR
KUALA LAMPUR MALAYSIA 50050

Effective Date: 10/08/1998

Foreign Entity: Yes

Country: MALAYSIA

Securities Activities: Yes

Investment Advisory

Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK BELGIUM S.A./N.V. is under common control with the firm.

Business Address: BOULEVARD GERNAL JAKUES 263G
BRUSSELS BELGIUM 1150

Effective Date: 10/08/1998

Foreign Entity: Yes

Country: BELGIUM

Securities Activities: Yes

Investment Advisory

Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK (SWITZERLAND) is under common control with the firm.

Business Address: BAHNHOFSTRASSE 63
ZURICH SWITZERLAND CH-8022

Effective Date: 10/08/1998

Foreign Entity: Yes

Country: SWITZERLAND

Securities Activities: Yes

Investment Advisory

Activities: No

Firm Operations



Organization Affiliates (continued)

Description: SALOMON SMITH BARNEY INC. IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF SALOMON BROTHERS HOLDING COMPANY INC. ("SBHC"), A WHOLLY-OWNED DIRECT SUBSIDIARY OF SALOMON SMITH BARNEY HOLDINGS INC. ("SSBHI"). SSBHI IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP INC. THE AFFILIATED ENTITY IS UNDER COMMON CONTROL OF SBHC, SSBHI, OR CITIGROUP INC.

CITICORP MERCHANT BANK LIMITED is under common control with the firm.

Business Address: 74 INDEPENDENCE SQUARE
PORT OF SPAIN TRINIDAD & TOBAGO N/A

Effective Date: 10/09/1998

Foreign Entity: Yes

Country: TRINIDAD & TOBAGO

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

LATIN AMERICAN INVESTMENT BANK BAHAMAS LIMITED is under common control with the firm.

Business Address: CITIBANK BUILDING
THOMPSON BLVD. & OAKES FIEELD
NASSAU BAHAMAS N/A

Effective Date: 10/08/1998

Foreign Entity: Yes

Country: BAHAMAS

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS CANADA INC. is under common control with the firm.

Business Address: 181 BAY STREET
BCE PLACE
TORONTO CANADA M5J 2T3

Effective Date: 09/01/1998

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Firm Operations**Organization Affiliates (continued)**

Foreign Entity:	Yes
Country:	CANADA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.
PFSL INVESTMENTS CANADA LTD. is under common control with the firm.	
Business Address:	350 BURNHAMTHORPE ROAD WEST SUITE 300 MISSISSAUGA, ONTARIO CANADA L5N 2R7
Effective Date:	08/22/1991
Foreign Entity:	Yes
Country:	CANADA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.
SALOMON SWAPCO INC is under common control with the firm.	
Business Address:	388 GREENWICH STREET NEW YORK, NY 10013
Effective Date:	09/01/1998
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS SINGAPORE PTE. LIMITED is under common control with the firm.

Business Address: 1 TEMESEK AVENUE
SINGAPORE SINGAPORE 13192

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Firm Operations**Organization Affiliates (continued)**

Effective Date:	09/01/1998
Foreign Entity:	Yes
Country:	SINGAPORE
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS TAIWAN LIMITED is under common control with the firm.	
Business Address:	9TH FLOOR, WAISIN FINANCIAL BLDG., NO. 117 MING SHENG EAST ROAD, SECTION 3 TAIPEI TAIWAN 90646
Effective Date:	09/01/1998
Foreign Entity:	Yes
Country:	TAIWAN
Securities Activities:	No
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITICORP ADMINISTRADORA DE INVERSIONES S.A. is under common control with the firm.	
Business Address:	MISIONES 1374 MONTEVIDEO URUGUAY N/A
Effective Date:	10/08/1998
Foreign Entity:	Yes
Country:	URUGUAY
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITICORP INTERNATIONAL SECURITIES LTD. is under common control with the firm.

**Organization Affiliates (continued)**

Business Address: HAY'S LANE
LONDON ENGLAND N/A
Effective Date: 10/08/1998
Foreign Entity: Yes
Country: ENGLAND
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITICORP SECURITIES INTERNATIONAL (RP) INC. is under common control with the firm.

Business Address: AYALA AVENUE
MAKATI PHILIPPINES N/A
Effective Date: 10/08/1998
Foreign Entity: Yes
Country: PHILIPPINES
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

SALOMON SMITH BARNEY SECURITIES (TAIWAN) LIMITED is under common control with the firm.

Business Address: 1F NO. 54-3 MING SHENG EAST ROAD
TAIPEI TAIWAN N/A
Effective Date: 10/08/1998
Foreign Entity: Yes
Country: TAIWAN
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITISECURITIES LIMITED is under common control with the firm.

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Firm Operations**Organization Affiliates (continued)**

Business Address: 1 MARGARET STREET
 SYDNEY, NSW AUSTRALIA N/A
Effective Date: 10/08/1998
Foreign Entity: Yes
Country: AUSTRALIA
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBROKERAGE S.A. is under common control with the firm.

Business Address: U.I. SENATORSKA 12
 WARSAW POLAND 00 923
Effective Date: 10/08/1998
Foreign Entity: Yes
Country: POLAND
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

SALOMON SMITH BARNEY AUSTRALIA PTY LIMITED is under common control with the firm.

Business Address: LEVEL 16, GROSVENOR PLACE
 225 GEORGE STREET
 SYDNEY NSW AUSTRALIA 2000
Effective Date: 09/01/1998
Foreign Entity: Yes
Country: AUSTRALIA
Securities Activities: Yes
Investment Advisory Activities: No
Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

Firm Operations**Organization Affiliates (continued)**

CITICORP TRUST BANK, FSB (TRUST DEPARTMENT) is under common control with the firm.

CRD #: 108697

Business Address: 388 GREENWICH STREET
NEW YORK, NY 10013

Effective Date: 12/31/1993

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

SMITH BARNEY STRATEGY ADVISERS INC. is under common control with the firm.

Business Address: 388 GREENWICH STREET
NEW YORK, NY 10013

Effective Date: 10/22/1986

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

TRIBECA MANAGEMENT, L.L.C. is under common control with the firm.

Business Address: 388 GREENWICH STREET
NEW YORK, NY 10013

Effective Date: 07/10/1998

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

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Firm Operations**Organization Affiliates (continued)**

Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.			
ZAO CITIGROUP GLOBAL MARKETS	is under common control with the firm.			
Business Address:	8-10 GASHEKA STREET MOSCOW RUSSIA	N/A		
Effective Date:	09/01/1998			
Foreign Entity:	Yes			
Country:	RUSSIA			
Securities Activities:	Yes			
Investment Advisory Activities:	No			
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.			
CITICORP CAPITAL MARKETS SOCIEDAD ANONIMA	is under common control with the firm.			
Business Address:	SAN MARTIN 140 PISO 9 BUENOS AIRES ARGENTINA	N/A		
Effective Date:	10/08/1998			
Foreign Entity:	Yes			
Country:	ARGENTINA			
Securities Activities:	Yes			
Investment Advisory Activities:	No			
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.			
CITICORP INVESTMENT BANK (SINGAPORE) LIMITED	is under common control with the firm.			
Business Address:	5 SHERITON WAY UIC BUILDING SINGAPORE SINGAPORE	06881		
Effective Date:	10/08/1998			
Foreign Entity:	Yes			
Country:	SINGAPORE			
Securities Activities:	Yes			



Firm Operations**Organization Affiliates (continued)**

Investment Advisory Activities: No

Description:

THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITICORP INVESTMENTS LIMITED is under common control with the firm.

Business Address: 1 MARGARET STREET
SYDNEY NSW AUSTRALIA 2000

Effective Date: 10/08/1998

Foreign Entity: Yes

Country: AUSTRALIA

Securities Activities: No

Investment Advisory Activities: Yes

Description:

THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS NEW ZEALAND LIMITED is under common control with the firm.

Business Address: LEVEL 3
89 THE TERRACE WELLINGTON
WELLINGTON NEW ZEALAND N/A

Effective Date: 09/01/1998

Foreign Entity: Yes

Country: NEW ZEALAND

Securities Activities: Yes

Investment Advisory Activities: No

Description:

THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS AUSTRALIA PTY LIMITED is under common control with the firm.

Business Address: LEVEL 16, GROSVENOR PLACE
225 GEORGE STREET
SYDNEY NSW AUSTRALIA 2000

Effective Date: 09/01/1998

Foreign Entity: Yes



Firm Operations**Organization Affiliates (continued)****Country:** AUSTRALIA**Securities Activities:**

Yes

Investment Advisory Activities:

No

Description:

THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS ASIA LIMITED is under common control with the firm.**Business Address:**CITIGROUP CENTRE - CITIBANK "K" TOWER, 50TH FLOOR
3 GARDEN ROAD
HONG KONG HONG KONG N/A**Effective Date:**

09/01/1998

Foreign Entity:

Yes

Country:

HONG KONG

Securities Activities:

Yes

Investment Advisory Activities:

No

Description:

THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

SALOMON BROTHERS UK LIMITED is under common control with the firm.**Business Address:**VICTORIA PLAZA
111 BUCKINGHAM PALACE ROAD
LONDON ENGLAND SW1W 0SB**Effective Date:**

09/01/1998

Foreign Entity:

Yes

Country:

ENGLAND

Securities Activities:

Yes

Investment Advisory Activities:

No

Description:

THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS UK EQUITY LIMITED is under common control with the firm.**Business Address:**VICTORIA PLAZA
111 BUCKINGHAM PALACE ROAD
LONDON ENGLAND SW1W 0SB

Firm Operations**Organization Affiliates (continued)**

Effective Date: 09/01/1998

Foreign Entity: Yes

Country: ENGLAND

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

SALOMON SMITH BARNEY SA is under common control with the firm.

Business Address: 7, RUE DE TILSITT
PARIS FRANCE 75017

Effective Date: 09/01/1998

Foreign Entity: Yes

Country: FRANCE

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS KOREA LTD. is under common control with the firm.

Business Address: DONG-AH LIFE INSURANCE BUILDING - 3RD FLOOR
33, DA-DONG, CHUNG-KU
SEOUL KOREA 100-180

Effective Date: 09/01/1998

Foreign Entity: Yes

Country: SOUTH KOREA

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITICORP VENTURE CAPITAL BERATUNGS GESELLSCHAFT MBH is under common control with the firm.





Organization Affiliates (continued)

Business Address:	NEUE MAINZER STRASSE 75 FRANKFURT GERMANY 60311
Effective Date:	10/08/1998
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK MERCADO DE CAPITALES, CITIMERCA CASA DE BOLSA is under common control with the firm.	
Business Address:	EDIFICIO CITIBANK CARMELITAS ALTAGRACIA, CARACAS VENEZUELA 1010A
Effective Date:	10/08/1998
Foreign Entity:	Yes
Country:	VENEZUELA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIVERSIONES, S.A. is under common control with the firm.	
Business Address:	A.V. REFORMA 15-45 GUATEMALA CITY GUATEMALA ZONA 10
Effective Date:	10/08/1998
Foreign Entity:	Yes
Country:	GUATEMALA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

Firm Operations**Organization Affiliates (continued)**

CITICORP VALORES S.A. SOCIEDAD DE BOLSA is under common control with the firm.

Business Address:BARTOLOME MITRE 530
5TH FLOOR
BUENOS AIRES ARGENTINA N/A**Effective Date:**

10/08/1998

Foreign Entity:

Yes

Country:

ARGENTINA

Securities Activities:

Yes

Investment Advisory Activities:

No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIVALORES S.A. is under common control with the firm.

Business Address:VIA ESPANA 124
PANAMA CITY PANAMA N/A**Effective Date:**

10/08/1998

Foreign Entity:

Yes

Country:

PANAMA

Securities Activities:

Yes

Investment Advisory Activities:

No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIVALORES PUESTO DE BOLSA S.A. is under common control with the firm.

Business Address:OFICENTRO EJECUTIVO LA SABANA, EDIFICIO 3
PRIMER PISO DETRAS DE LA CONTRALORIA
SABANA SUR, SAN JOSE COSTA RICA N/A**Effective Date:**

10/08/1998

Foreign Entity:

Yes

Country:

COSTA RICA

Securities Activities:

Yes

Investment Advisory Activities:

No

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Firm Operations**Organization Affiliates (continued)**

Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.		
CITIVALORES S.A. COMISIONISTA DE BOLSA is under common control with the firm.			
Business Address:	CARRERA 9 A NO. 99-02 PISO 2 BOGOTA COLOMBIA N/A		
Effective Date:	10/08/1998		
Foreign Entity:	Yes		
Country:	COLOMBIA		
Securities Activities:	Yes		
Investment Advisory Activities:	No		
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.		
P.T. CITICORP SECURITIES INDONESIA is under common control with the firm.			
Business Address:	LANDMARK CENTRE, TOWER A 6TH FLOOR J1 JENDRAL SUDIRMAN NO. 1 JAKARTA 12910		
Effective Date:	10/08/1998		
Foreign Entity:	Yes		
Country:	INDONESIA		
Securities Activities:	Yes		
Investment Advisory Activities:	No		
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.		
CITICORP INTERNATIONAL LIMITED is under common control with the firm.			
Business Address:	CITIBANK PLAZA 3 GARDEN ROAD, 48TH FLOOR CENTRAL HONG KONG N/A		
Effective Date:	10/08/1998		
Foreign Entity:	Yes		
Country:	HONG KONG		

EXHIBIT A

Part 3 of 3

Firm Operations**Organization Affiliates (continued)**

Securities Activities: No

Investment Advisory Activities: Yes

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIBANK DISTRIBUIDORA DE TITULOS E VALORES MOBILIARIOS S.A. is under common control with the firm.

Business Address: AVENIDA PAULISTA
2ND FLOOR
SAO PAULO SP BRAZIL 1111

Effective Date: 10/08/1998

Foreign Entity: Yes

Country: BRAZIL

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS BRASIL CCTVM SA is under common control with the firm.

Business Address: AVENIDA PAULISTA
SAO PAULO BRAZIL 1111

Effective Date: 10/08/1998

Foreign Entity: Yes

Country: BRAZIL

Securities Activities: Yes

Investment Advisory Activities: Yes

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITITRADING S.A. CASA DE VALORES is under common control with the firm.

Business Address: AVENIDA JUAN LEON MERA 130
Y AVENIDA PATRIA
QUITO EQUADOR 1393

Effective Date: 10/08/1998

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Firm Operations**Organization Affiliates (continued)**

Foreign Entity:	Yes	
Country:	EQUADOR	
Securities Activities:	Yes	
Investment Advisory Activities:	No	
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.	
CITICORP SECURITIES WEST AFRICA is under common control with the firm.		
Business Address:	28 AVENUE DALA FOSSE ABIDJAN IVORY COAST 01	
Effective Date:	10/08/1998	
Foreign Entity:	Yes	
Country:	IVORY COAST	
Securities Activities:	Yes	
Investment Advisory Activities:	No	
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.	
CITICORP CAPITAL PHILLIPPINES, INC. is under common control with the firm.		
Business Address:	CITIBANK TOWER 8741 PASEO DE ROXAS MAKATI PHILLIPPINES N/A	
Effective Date:	10/08/1998	
Foreign Entity:	Yes	
Country:	PHILLIPPINES	
Securities Activities:	Yes	
Investment Advisory Activities:	Yes	
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.	
CITINVERSIONES DE TITULOS Y VALORES (PUESTO DE BOLSA) S.A. is under common control with the firm.		
Business Address:	JOHN F. KENNEDY BOULEVARD NO. 1 SANTO DOMINGO DOMINICAN REPUBLIC N/A	



Organization Affiliates (continued)

Effective Date:	10/08/1998
Foreign Entity:	Yes
Country:	DOMINICAN REPUBLIC
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITICORP PERU S.A. SOCIEDAD AGENTE DE BOLSA is under common control with the firm.

Business Address:

AVENIDA CAMINO REAL 456
TORRE REAL, PISO 5 OF 503
SAN ISIDRO, LIMA PERU N/A

Effective Date:

10/08/1998

Foreign Entity:

Yes

Country:

PERU

Securities Activities:

Yes

Investment Advisory Activities:

No

Description:

THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITICORP SECURITIES SERVICES, INC. is under common control with the firm.

CRD #:

15387

Business Address:

390 GREENWICH STREET
NEW YORK, NY 10013

Effective Date:

10/08/1998

Foreign Entity:

No

Country:

Securities Activities:

Yes

Investment Advisory Activities:

No

Description:

THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITIGROUP GLOBAL MARKETS DEUTSCHLAND AG is under common control with the firm.

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**Firm Operations****Organization Affiliates (continued)**

Business Address:	FRANKFURTER WELLE REUTERWEG 16 FRANKFURT GERMANY 60323
Effective Date:	11/28/1997
Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

Business Address:	CANADA SQUARE CANARY WHARF LONDON ENGLAND E14 5LB
Effective Date:	11/28/1997
Foreign Entity:	Yes
Country:	ENGLAND
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

Business Address:	VICTORIA PLAZA 111 BUCKINGHAM PALACE ROAD LONDON ENGLAND SW 1W 0SB
Effective Date:	11/28/1997
Foreign Entity:	Yes
Country:	ENGLAND
Securities Activities:	No
Investment Advisory Activities:	Yes

SALOMON BROTHERS ASSET MANAGEMENT LIMITED is under common control with the firm.

Organization Affiliates (continued)

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

PFS INVESTMENTS INC. is under common control with the firm.

CRD #: 10111

Business Address: 3120 BRECKINRIDGE BLVD.
DULUTH, GA 30199

Effective Date: 12/01/1988

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITISTREET ADVISORS LLC is under common control with the firm.

CRD #: 3989

Business Address: TWO TOWER CENTER
EAST BRUNSWICK, NJ 08816

Effective Date: 11/28/1997

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

CITICORP FINANCIAL SERVICES CORPORATION is under common control with the firm.

CRD #: 17053

Business Address: 1 CITIBANK DRIVE
CITIBANK BUILDING - 3RD FLOOR
SAN JUAN, PR 00926

Effective Date: 10/08/1998

Foreign Entity: No

Firm Operations**Organization Affiliates (continued)**

Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE ENTITY IS UNDER COMMON CONTROL WITH THE APPLICANT.

This firm is directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

CITIBANK, N.A. is a National Bank and controls the firm.

Business Address: 399 PARK AVENUE
NEW YORK, NY 10043

Effective Date: 10/08/1998

Description: CITIGROUP GLOBAL MARKETS INC. IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP FINANCIAL PRODUCTS INC. ("CFPI"), A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP GLOBAL MARKETS HOLDINGS INC. (CGMHI). CGMHI IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP INC. THE AFFILIATED ENTITY AND THE APPLICANT ARE UNDER COMMON CONTROL IF CITIGROUP INC.

CITIGROUP INC. is a Bank Holding Company and controls the firm.

Business Address: 153 EAST 53RD STREET
NEW YORK, NY 10043

Effective Date: 10/08/1998

Description: CITIGROUP GLOBAL MARKETS INC. IS A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP FINANCIAL PRODUCTS INC. ("CFPI"), A WHOLLY-OWNED DIRECT SUBSIDIARY OF CITIGROUP GLOBAL MARKETS HOLDINGS ("CGMHI"). CGMHI IS A WHOLLY-OWNED DIRECT OF SUBSIDIARY OF CITIGROUP INC.

Disclosure of Arbitration Awards, Disciplinary, Financial, and Regulatory Events

Firms are required to answer a series of disclosure questions on Form BD and provide the corresponding details to any reported events as part of the securities industry registration and licensing process. The disclosure questions concern criminal and regulatory events, civil actions, and certain financial disclosures such as bankruptcy or liquidation proceedings filed within the past ten years, bond actions and unpaid judgments and liens. The firm must answer either "yes" or "no" to each question as it applies to the firm itself or to any of its control affiliates (i.e., an individual, partnership, corporation, trust, or other organization that directly or indirectly controls, is under common control with, or is controlled by the firm). This section lists the various disclosure questions and their corresponding answers as reported by the firm on Form BD.



Possible multiple reporting sources -- please note:

Disclosure event details may be reported by more than one source (i.e., regulator or firm). When this occurs, all versions of the reported event will appear in the firm's BrokerCheck report. The different versions of the same reported disclosure event are separated by a solid line with the reporting source clearly labeled.

	Pending	Final	On Appeal
Regulatory Event	1	282	0
Civil Event	0	2	0
Arbitration	N/A	1417	N/A



Disclosure Event Details

This section provides the specific details for each disclosure event, as reported by the firm on Form BD, that correspond with any "yes" answers to the various Form BD disclosure questions. It also includes summary information regarding arbitration awards in cases where the firm was named as a respondent in the arbitration proceeding, if any.

Nothing will be displayed in this section of the firm's BrokerCheck Report when the firm has no reported disclosure information.

If the firm does have reported disclosure events, please keep the following in mind when evaluating the disclosure event details. Items may involve pending actions or allegations that may be contested and have not been resolved or proven. The items may, in the end, be withdrawn or dismissed, or resolved in favor of the firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD by the firm and/or by securities industry regulators. Some of the specific data fields contained in this section of the report may be blank if the information was not provided to CRD.

Disclosure event details may be reported by more than one source (i.e., regulator and firm). When this occurs, all versions of the reported event will appear in the firm's BrokerCheck report. A solid line separates the different versions of the same reported disclosure event with the reporting source clearly labeled (e.g., Source: Firm or Source: Regulator).

Regulatory - Final

This section provides information regarding any final, regulatory action as reported by the firm and/or a securities regulator to CRD as part of the securities industry registration and licensing process. Such event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the U.S. Securities and Exchange Commission (SEC) or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations. In addition, a revocation or suspension of the authority of a firm's control affiliate to act as an attorney, accountant or federal contractor, if any, will appear here.

Disclosure 1 of 282

Reporting Source: Regulator

Current Status: Final

Allegations:

NASD RULE 1050 AND 2110: FROM APRIL 2005 THROUGH DECEMBER 2006
RESPONDENT FIRM PERMITTED NEARLY 300 FOREIGN-BASED RESEARCH
ANALYSTS ASSOCIATED WITH THE FIRM TO PUBLISH RESEARCH
WITHOUT FIRST OBTAINING REQUIRED SERIES 86 AND 87
QUALIFICATIONS OR AN EXEMPTION. AS PERMITTED UNDER RULE 1050,
RESPONDENT FIRM APPLIED FOR AND OBTAINED A ONE-YEAR GRACE
PERIOD FOR EACH OF ITS RESEARCH ANALYSTS, INCLUDING ITS
NON-U.S. RESEARCH ANALYSTS TO TAKE AND PASS THE SERIES 86 AND



87 EXAMINATION, HOWEVER, THE FIRM DID NOT HAVE ITS ASSOCIATED NON-US RESEARCH ANALYST, WITH THE EXEMPTION OF THOSE RESIDING IN MEXICO, TAKE EXAMINATIONS. ACCORDINGLY, THE FIRM WAS IN VIOLATION OF RULE 1050 BY ALLOWING ITS ASSOCIATED NON-US RESEARCH ANALYSTS TO PUBLISH RESEARCH WITHOUT FIRST OBTAINING SERIES 86 AND 87 QUALIFICATIONS. THE FIRM DID NOT SATISFY THE CONDITIONS FOR A LIMITED SAFE HARBOR IN SEVEN FOREIGN JURISDICTIONS, YET PERMITTED ASSOCIATED ANALYSTS IN THESE JURISDICTIONS TO PUBLISH RESEARCH.

Initiated By: FINRA

Date Initiated: 07/01/2008

Docket/Case Number: 2005002206101

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

07/01/2008

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Sanctions Ordered:

Censure
Monetary/Fine \$650,000.00

Other Sanctions Ordered:

Sanction Details:

WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT MEMBER FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, FIRM IS CENSURED AND FINED \$650,000.

Disclosure 2 of 282

Reporting Source:

Regulator

Current Status:

Final

**Allegations:**

NASD RULES 2110, 3011(B) AND MSRB RULE G-41 - THE CUSTOMER IDENTIFICATION PROGRAM THE FIRM UTILIZED WAS INADEQUATE IN THAT CERTAIN ACCOUNTS WERE NOT SUBJECTED TO AN ADEQUATE CUSTOMER IDENTIFY VERIFICATION PROCESS AT THE ACCOUNT OPENING STAGE.

Initiated By:

FINRA

Date Initiated:

06/20/2008

Docket/Case Number:

E102005008801

Principal Product Type:

No Product

Other Product Type(s):**Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:**

Acceptance, Waiver & Consent(AWC)

Resolution Date:

06/20/2008

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Sanctions Ordered:

Censure
Monetary/Fine \$100,000.00

Other Sanctions Ordered:**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE FINDINGS, CITIGROUP GLOBAL MARKETS INC., CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM IS CENSURED AND FINED \$100,000.

Disclosure 3 of 282**Reporting Source:**

Regulator

Current Status:

Final

Allegations:

3/20/08 STIPULATION OF FACTS AND CONSENT TO PENALTY FILED BY NYSE REGULATION'S DIVISION OF ENFORCEMENT AND PENDING. 1) VIOLATED NYSE RULE 123(E) AND NYSE RULE



123(F) IN THAT ON THOUSANDS OF OCCASIONS THE FIRM FAILED TO PROVIDE CERTAIN REQUIRED DATA NEEDED TO LINK THE ENTRY OF ORDERS WITH REPORTS OF EXECUTION IN THE FRONT END SYSTEMIC CAPTURE SYSTEM; AND 2) VIOLATED NYSE RULE 342 IN THAT THE FIRM FAILED TO IMPLEMENT ADEQUATE CONTROLS, INCLUDING A SEPARATE SYSTEM OF FOLLOW-UP AND REVIEW, REASONABLY DESIGNED TO FULLY REMEDIATE THE FIRM'S ORDER MANAGEMENT SYSTEM TO MEET NYSE TECHNICAL SPECIFICATIONS IN A TIMELY MANNER AND THEREBY PREVENT VIOLATIONS OF NYSE RULE 123(E) AND NYSE RULE 123(F). STIPULATED SANCTION: CENSURE AND FINE IN THE AMOUNT OF \$100,000.

Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Date Initiated: 03/20/2008

Docket/Case Number: HBD# 08-15

Principal Product Type: Other

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution:

Resolution Date:

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details:

Decision

04/18/2008

Censure

Monetary/Fine \$100,000.00

****3/24/08**** DECISION NO. 08-15 ISSUED BY NYSE HEARING BOARD. DECISION: VIOLATED NYSE RULES 123(E) AND 123(F) BY FAILING TO PROVIDE CERTAIN REQUIRED DATA NEEDED TO LINK ENTRY OF ORDERS WITH REPORTS OF EXECUTION IN FRONT END SYSTEMIC CAPTURE SYSTEM; VIOLATED NYSE RULE 342 BY FAILING TO IMPLEMENT ADEQUATE CONTROLS, INCLUDING SEPARATE SYSTEM OF FOLLOW-UP AND REVIEW/REASONABLY DESIGNED TO FULLY REMEDIATE FIRM'S ORDER MANAGEMENT SYSTEM TO MEET NYSE TECHNICAL SPECIFICATIONS IN TIMELY MANNER AND THEREBY PREVENT VIOLATIONS OF NYSE RULE 123(E) AND NYSE RULE 123(F) - CONSENT TO CENSURE AND \$100,000 FINE.

****4/29/08**** THE DECISION BECAME FINAL AS OF THE CLOSE OF BUSINESS ON APRIL 18, 2008 AND THE FINE BECAME PAYABLE ON THAT SAME DATE.

Summary:

**Reporting Source:**

Firm

Current Status:

Final

Allegations:

4/18/2008 -STIPULATION OF FACTS AND CONSENT TO PENALTY FILED BY NYSE REGULATION'S DIVISION OF ENFORCEMENT. 1) VIOLATED NYSE RULE 123(E) AND NYSE RULE 123(F) IN THAT THE FIRM FAILED TO PROVIDE CERTAIN REQUIRED DATA NEEDED TO LINK THE ENTRY OF ORDERS WITH REPORTS OF EXECUTION IN THE FRONT END SYSTEMIC CAPTURE SYSTEM; AND 2) VIOLATED NYSE RULE 342 IN THAT THE FIRM FAILED TO IMPLEMENT ADEQUATE CONTROLS, INCLUDING A SEPARATE SYSTEM OF FOLLOW-UP AND REVIEW, REASONABLY DESIGNED TO FULLY REMEDIATE THE FIRM'S ORDER MANAGEMENT SYSTEM TO MEET NYSE TECHNICAL SPECIFICATIONS IN A TIMELY MANNER AND THEREBY PREVENT VIOLATIONS OF NYSE RULE 123(E) AND NYSE RULE 123(F). STIPULATED SANCTION: CENSURE AND FINE IN THE AMOUNT OF \$100,000.

Initiated By:

NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Date Initiated:

04/18/2008

Docket/Case Number:

HBD# 08-15

Principal Product Type:

Other

Other Product Type(s):**Principal Sanction(s)/Relief**

Censure

Sought:**Other Sanction(s)/Relief**

FINE - \$100,000

Sought:**Resolution:**

Stipulation and Consent

Resolution Date:

04/18/2008

Sanctions Ordered:

Censure

Monetary/Fine \$100,000.00

Other Sanctions Ordered:**Sanction Details:**

FINAL DECISION- NO. 08-15 ISSUED BY NYSE HEARING BOARD. DECISION: VIOLATED NYSE RULES 123(E) AND 123(F) BY FAILING TO PROVIDE CERTAIN REQUIRED DATA NEEDED TO LINK ENTRY OF ORDERS WITH REPORTS OF EXECUTION IN FRONT END SYSTEMIC CAPTURE SYSTEM; VIOLATED NYSE RULE 342 BY FAILING TO IMPLEMENT ADEQUATE CONTROLS, INCLUDING SEPARATE SYSTEM OF FOLLOW-UP AND REVIEW/REASONABLY DESIGNED TO FULLY REMEDIATE FIRM'S ORDER MANAGEMENT SYSTEM TO MEET NYSE TECHNICAL SPECIFICATIONS IN



TIMELY MANNER AND THEREBY PREVENT VIOLATIONS OF NYSE RULE 123(E) AND NYSE RULE 123(F) - CONSENT TO CENSURE AND \$100,000 FINE.

Summary:

04/18/2008 - DECISION FINAL

Disclosure 4 of 282**Reporting Source:**

Firm

Current Status:

Final

Allegations:

ALLEGED VIOLATION BY LEGG MASON WOOD WALKER INC. ("LMWW"), PREDECESSOR BY MERGER TO CITIGROUP GLOBAL MARKETS INC. ("CGMI"), OF NYSE RULE 401(A) DUE TO THE FAILURE TO ENSURE DELIVERY OF PROSPECTUSES IN CONNECTION WITH CERTAIN SALES OF REGISTERED SECURITIES IN VIOLATION OF SECTION 5(B)(2) OF THE SECURITIES ACT OF 1933 DURING THE TIME PERIOD OF JULY 1, 2003 THROUGH OCTOBER 31, 2004 (THE "RELEVANT PERIOD"); ALLEGED VIOLATION BY LMWW OF NYSE RULE 1100(B) BY FAILING TO DELIVER PRODUCT DESCRIPTIONS TO CERTAIN CUSTOMERS THAT PURCHASED CERTAIN EXCHANGE TRADED FUNDS DURING THE RELEVANT PERIOD; ALLEGED VIOLATION BY LMWW OF NYSE RULE 342 BY FAILING TO PROVIDE FOR, ESTABLISH AND MAINTAIN APPROPRIATE PROCEDURES OF SUPERVISION AND CONTROL RELATING TO THE DELIVERY OF PRODUCT DESCRIPTIONS AND PROSPECTUSES DURING THE RELEVANT PERIOD.

Initiated By:

NEW YORK STOCK EXCHANGE LLC

Date Initiated:

09/07/2007

Docket/Case Number:

NYSE HEARING BOARD DECISION 07-118

Principal Product Type:

Mutual Fund(s)

Other Product Type(s):

EQUITIES

Principal Sanction(s)/Relief Sought:

Censure

Other Sanction(s)/Relief Sought:

FINE IN THE AMOUNT OF \$500,000

Resolution:

Stipulation and Consent

Resolution Date:

10/02/2007

Sanctions Ordered:

Censure
Monetary/Fine \$500,000.00

**Other Sanctions Ordered:****Sanction Details:**

CGMI CONSENTED TO THE IMPOSITION OF A CENSURE AND A FINE IN THE AMOUNT OF \$500,000.

Summary:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AND SOLELY FOR THE PURPOSES OF THIS PROCEEDING AND ANY OTHER PROCEEDING BROUGHT BY OR ON BEHALF OF THE NEW YORK STOCK EXCHANGE LLC, OR TO WHICH THE NEW YORK STOCK EXCHANGE LLC IS A PARTY, PRIOR TO HEARING AND WITHOUT AN ADJUDICATION OF ANY ISSUES OF LAW OR FACT CGMI CONSENTED TO A CENSURE AND A FINE IN THE AMOUNT OF \$500,000.

Disclosure 5 of 282**Reporting Source:****Current Status:**

Regulator

Final

Allegations:

****6/29/07****STIPULATION AND CONSENT TO PENALTY FILED BY NYSE REGULATION'S DIVISION OF ENFORCEMENT AND PENDING CONSENTED TO FINDINGS:WITHOUT ADMITTING OR DENYING GUILT, CITIGROUP GLOBAL MARKETS INC. CONSENTS TO FINDINGS THAT IT VIOLATED:1. NYSE RULE 401(A) BY FAILING TO ADHERE TO THE PRINCIPLES OF GOOD BUSINESS PRACTICE AND ENGAGING IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE, RESPECTIVELY, BY FAILING TO:A. ENSURE THE DELIVERY OF PROSPECTUSES IN CONNECTION WITH CERTAIN SALES OF REGISTERED SECURITIES IN VIOLATION OF SECTION 5(B)(2) OF THE SECURITIES ACT OF 1933; AND B. DELIVER TRADE CONFIRMATIONS TO CERTAIN CUSTOMERS.2. NYSE RULE 1100(B) BY FAILING TO DELIVER PRODUCT DESCRIPTIONS TO CUSTOMERS THAT PURCHASED EXCHANGE TRADED FUNDS; 3. RULE 10B-10 OF THE SECURITIES EXCHANGE ACT OF 1934 BY FAILING TO PROVIDE FIRM CUSTOMERS WITH CONFIRMATIONS FOR CERTAIN SECURITIES TRANSACTIONS; AND 4. NYSE RULE 342 BY FAILING TO PROVIDE FOR, ESTABLISH AND MAINTAIN APPROPRIATE PROCEDURES OF SUPERVISION AND CONTROL INCLUDING A SYSTEM OF FOLLOW-UP AND REVIEW WITH RESPECT TO ITS OPERATIONAL AND TECHNOLOGICAL ACTIVITIES RELATING TO THE DELIVERY OF:A. PRODUCT DESCRIPTIONS AND PROSPECTUSES; AND B. TRADE CONFIRMATIONS.

****CONTINUED AT 13C****

Initiated By:

NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Date Initiated:

06/29/2007

Docket/Case Number:

HPD 07-143



Principal Product Type: Other

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution:

Resolution Date: 10/04/2007

Sanctions Ordered: Censure
Monetary/Fine \$2,250,000.00

Other Sanctions Ordered: CONSENT TO CENSURE, \$2,250,000 FINE AND UNDERTAKING.

Sanction Details: **9/7/07**DECISION 07-143 ISSUED BY NYSE HEARING BOARD
DECISION:CITIGROUP GLOBAL MARKETS INC. CONSENTED TO FINDINGS THAT IT VIOLATED:1. NYSE RULE 401(A) BY FAILING TO ADHERE TO THE PRINCIPLES OF GOOD BUSINESS PRACTICE AND ENGAGING IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE, RESPECTIVELY, BY FAILING TO:A. ENSURE THE DELIVERY OF PROSPECTUSES IN CONNECTION WITH CERTAIN SALES OF REGISTERED SECURITIES IN VIOLATION OF SECTION 5(B)(2) OF THE SECURITIES ACT OF 1933; ANDB. DELIVER TRADE CONFIRMATIONS TO CERTAIN CUSTOMERS.2. NYSE RULE 1100(B) BY FAILING TO DELIVER PRODUCT DESCRIPTIONS TO CUSTOMERS THAT PURCHASED EXCHANGE TRADED FUNDS;3. RULE 10B-10 OF THE SECURITIES EXCHANGE ACT OF 1934 BY FAILING TO PROVIDE FIRM CUSTOMERS WITH CONFIRMATIONS FOR CERTAIN SECURITIES TRANSACTIONS; AND4. NYSE RULE 342 BY FAILING TO PROVIDE FOR, ESTABLISH AND MAINTAIN APPROPRIATE PROCEDURES OF SUPERVISION AND CONTROL INCLUDING A SYSTEM OF FOLLOW-UP AND REVIEW WITH RESPECT TO ITS OPERATIONAL AND TECHNOLOGICAL ACTIVITIES RELATING TO THE DELIVERY OF:A. PRODUCT DESCRIPTIONS AND PROSPECTUSES; ANDB. TRADE CONFIRMATIONS.
SANCTION: CENSURE, A \$2,250,000 FINE AND AN UNDERTAKING

Summary: **10/4/07**THE DECISION BECAME FINAL AS OF THE CLOSE OF BUSINESS ON OCTOBER 2, 2007 AND THE FINE BECAME PAYABLE ON THAT SAME DATE. CONTACT: PEGGY GERMINO 212-656-8450.

Reporting Source: Firm

Current Status: Final

**Allegations:**

ALLEGED VIOLATION BY CITIGROUP GLOBAL MARKETS INC. ("CGMI") OF NYSE RULE 401(A) DUE TO THE FAILURE TO ENSURE DELIVERY OF PROSPECTUSES IN CONNECTION WITH CERTAIN SALES OF REGISTERED SECURITIES DURING THE TIME PERIOD JULY 1, 2003 THROUGH OCTOBER 31, 2004 (THE "RELEVANT TIME PERIOD"); ALLEGED VIOLATION OF NYSE RULE 1100(B) DUE TO CGMI'S FAILURE TO DELIVER PRODUCT DESCRIPTIONS TO CERTAIN CUSTOMERS THAT PURCHASED EXCHANGE TRADED FUNDS DURING THE RELEVANT PERIOD; ALLEGED VIOLATION OF RULE 10B-10 OF THE SECURITIES EXCHANGE ACT OF 1934 DUE TO CGMI'S FAILURE TO PROVIDE CUSTOMERS WITH CONFIRMATIONS FOR CERTAIN SECURITIES TRANSACTIONS DURING THE RELEVANT PERIOD; ALLEGED VIOLATIONS BY CGMI OF NYSE RULE 342 BY FAILING TO PROVIDE FOR, ESTABLISH AND MAINTAIN APPROPRIATE PROCEDURES OF SUPERVISION AND CONTROL RELATING TO THE DELIVERY OF PRODUCT DESCRIPTIONS AND PROSPECTUSES AND TRADE CONFIRMATIONS.

Initiated By:

NEW YORK STOCK EXCHANGE LLC

Date Initiated:

09/07/2007

Docket/Case Number:

NYSE HEARING BOARD DECISION 07-143

Principal Product Type:

Mutual Fund(s)

Other Product Type(s):

EQUITY AND DEBT SECURITIES, EXCHANGE TRADED FUNDS

Principal Sanction(s)/Relief Sought:

Censure

Other Sanction(s)/Relief Sought:

FINE IN THE AMOUNT OF \$2,250,000

Resolution:

Stipulation and Consent

Resolution Date:

10/02/2007

Sanctions Ordered:

Censure
Monetary/Fine \$2,250,000.00

Other Sanctions Ordered:

UNDERTAKING

Sanction Details:

CGMI CONSENTED TO THE IMPOSITION OF A CENSURE, A FINE IN THE AMOUNT OF \$2,250,000 AND AN UNDERTAKING TO PROVIDE A WRITTEN CERTIFICATION THAT CURRENT POLICIES AND PROCEDURES, INCLUDING WRITTEN SUPERVISORY AND OPERATIONAL POLICIES AND PROCEDURES REGARDING THE DELIVERY OF PROSPECTUSES, PRODUCT DESCRIPTIONS AND TRADE CONFIRMATIONS ARE REASONABLY DESIGNED TO ENSURE COMPLIANCE WITH APPLICABLE FEDERAL SECURITIES LAWS AND NYSE RULES.

Summary:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AND SOLELY FOR



THE PURPOSES OF THIS PROCEEDING AND ANY OTHER PROCEEDING BROUGHT BY OR ON BEHALF OF NEW YORK STOCK EXCHANGE LLC, OR TO WHICH NEW YORK STOCK EXCHANGE LLC IS A PARTY, PRIOR TO HEARING AND WITHOUT AN ADJUDICATION OF ANY ISSUES OF LAW OR FACT CGMI CONSENTED TO A CENSURE, A FINE OF \$2,250,000 AND AN UNDERTAKING.

Disclosure 6 of 282

Reporting Source:

Current Status:

Allegations:

Regulator

Final

NASD RULES 2110, 3010, 3360 - DURING A SELF REGULATORY ORGANIZATION (SRO) REVIEW, THE FIRM DISCOVERED THAT IT HAD MISREPORTED SHORT INTEREST POSITIONS TO NASD FOR AN INDETERMINATE PERIOD OF TIME DUE TO COMPUTER CODING ISSUES. THE FINDINGS STATED THAT, DUE TO A CLERICAL ERROR, THE FIRM SUBMITTED TO NASD ITS SHORT INTEREST POSITION OF 1,188,248 SHARES IN ONE SECURITY WHEN ITS ACTUAL SHORT INTEREST POSITION IN THE SECURITY WAS 788,157 SHARES. THE FINDINGS STATED THAT THE FIRM'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH RESPECT TO THE APPLICABLE SECURITIES LAWS, REGULATIONS AND NASD RULES CONCERNING SHORT INTEREST REPORTING.

Initiated By:

FINRA

Date Initiated:

08/23/2007

Docket/Case Number:

20041000119-01

Principal Product Type:

No Product

Other Product Type(s):

Principal Sanction(s)/Relief

Sought:

Other Sanction(s)/Relief

Sought:

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

08/23/2007



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Sanctions Ordered:

Censure
Monetary/Fine \$300,000.00

Other Sanctions Ordered:

Sanction Details:

WITHOUT ADMITTING OR DENYING THE FINDINGS, CITIGROUP GLOBAL MARKETS INC., CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM WAS CENSURED AND FINED \$300,000.

Reporting Source:

Firm

Current Status:

Final

Allegations:

ALLEGATIONS THAT DURING THE PERIOD MAY 1998 THROUGH OCTOBER 2005 (THE "REVIEW PERIOD") CITIGROUP GLOBAL MARKETS INC. ("CGMI") VIOLATED NASD CONDUCT RULES 2110 AND 3360 BY INACCURATELY REPORTING SHORT INTEREST POSITIONS FOR CERTAIN SECURITIES AND THAT CERTAIN SECURITIES WERE INACCURATE. IT WAS FURTHER ALLEGED THAT CGMI VIOLATED NASD CONDUCT RULES 2110 AND 3010 DUE TO ITS FAILURE DURING THE REVIEW PERIOD TO REASONABLY SUPERVISE ITS PROCESS FOR REPORTING SHORT INTEREST POSITIONS TO THE NASD SO AS TO DETECT AND PREVENT VIOLATIONS OF NASD CONDUCT RULES 3360 AND THAT CGMI'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH RESPECT TO THE APPLICABLE SECURITIES LAWS AND REGULATIONS AND THE RULES OF NASD CONCERNING SHORT INTEREST REPORTING.

Initiated By:

FINRA

Date Initiated:

08/23/2007

Docket/Case Number:

AWC 20041000119-01

Principal Product Type:

No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Censure

**Other Sanction(s)/Relief Sought:**

FINE IN THE AMOUNT OF \$300,000

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

08/23/2007

Sanctions Ordered:Censure
Monetary/Fine \$300,000.00**Other Sanctions Ordered:****Sanction Details:**

CGMI CONSENTED TO A CENSURE AND A FINE IN THE AMOUNT OF \$300,000 TO BE PAID JOINTLY TO NASD (NOW, FINRA) AND THE NEW YORK STOCK EXCHANGE.

Summary:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AND SOLELY FOR THE PURPOSES OF THIS PROCEEDING AND ANY OTHER PROCEEDING BROUGHT BY OR ON BEHALF OF FINRA, OR TO WHICH FINRA IS A PARTY, PRIOR TO HEARING AND WITHOUT AN ADJUDICATION OF ANY ISSUE OR LAW OR FACT, CGMI CONSENTED TO A CENSURE AND A FINE IN THE AMOUNT OF \$300,000, TO BE PAID JOINTLY TO THE NASD (NOW, FINRA) AND NYSE.

Disclosure 7 of 282**Reporting Source:**

Firm

Current Status:

Final

Allegations:

ALLEGATION THAT CITIGROUP GLOBAL MARKETS INC. ("CGMI") VIOLATED N.J.S.A. 49:3-58(A)(2)(XI) DUE TO ITS FAILURE DURING THE TIME PERIOD MARCH 2003 THROUGH JANUARY 2004 TO REASONABLY SUPERVISE, AND ESTABLISH AND ENFORCE PROCEDURES NECESSARY TO DETECT AND PREVENT UNSUITABLE TRADING AND THE ALTERATION OF CUSTOMER PROFILES BY CERTAIN EMPLOYEES AT THE BRANCH OFFICE IN SHORT HILLS, NEW JERSEY; ALLEGATION THAT CGMI VIOLATED N.J.S.A. 49:3-59, AND N.J.A.C. 13:47A-1.10 DUE TO ITS FAILURE DURING THE TIME PERIOD SPECIFIED ABOVE TO MAINTAIN BOOKS AND RECORDS WHICH ACCURATELY REFLECTED THE ACCOUNT PROFILES OF CERTAIN OF ITS CLIENTS.

Initiated By:

STATE OF NEW JERSEY BUREAU OF SECURITIES

Date Initiated:

07/16/2007

Docket/Case Number:

N/A

Principal Product Type:

No Product

Other Product Type(s):



Principal Sanction(s)/Relief Sought: Restitution
CIVIL PENALTY OF \$500,000.00.

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 07/16/2007

Sanctions Ordered: Monetary/Fine \$500,000.00
Disgorgement/Restitution

Other Sanctions Ordered:

Sanction Details: CGMI CONSENTED TO RESTITUTION IN THE AMOUNT OF \$478,000 AND A CIVIL MONETARY PENALTY OF \$500,000.

Summary: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AND SOLELY FOR THE PURPOSES OF THIS PROCEEDING AND ANY OTHER PROCEEDING BROUGHT BY OR ON BEHALF OF THE STATE OF NEW JERSEY BUREAU OF SECURITIES ("N.J."), OR TO WHICH N.J. IS A PARTY, PRIOR TO HEARING AND WITHOUT AN ADJUDICATION OF ANY ISSUE OF LAW OR FACT CGMI CONESNTED TO RESTITUTION IN THE AMOUNT OF \$478,000 AND A CIVIL MONETARY PENALTY OF \$500,000.

Disclosure 8 of 282**Reporting Source:****Current Status:****Allegations:**

Firm

Final

FROM JANUARY 2000 THROUGH SEPTEMBER 2003 CITIGROUP GLOBAL MARKETS INC. ("CGMI") ALLEGEDLY FAILED TO REASONABLY SUPERVISE CERTAIN PERSONS ASSOCIATED WITH THE FIRM IN VIOLATION OF N.J.S.A. 49:3-58(A)(2)(XI) TO ESTABLISH AND/OR ENFORCE REASONABLE SUPERVISORY PROCEDURES FOR DETECTING AND PREVENTING DECEPTIVE MARKET TIMING PRACTICES. FURTHER, THE FIRM ALLEGEDLY VIOLATED N.J.A.C. 13:47A-1.10 BY FAILING TO MAKE AND/OR PRESERVE ACCURATE BOOKS AND RECORDS RELATING TO (1) ORDER COMMUNICATIONS AND ENTRY TIME FOR MUTUAL FUND TRADES, (B) REJECTION AND/OR CANCELLATION OF MUTUAL FUND AND VARIABLE ANNUITY SUB-ACCOUNT TRADES RELATED TO MARKET TIMING, AND (C) SHARES ORDERS AND/OR CONFIRMATIONS FOR TRANSACTIONS EXECUTED BY CERTAIN PERSONS ASSOCIATED WITH THE FIRM IN VARIABLE ANNUITY ACCOUNTS AND OTHER INSURANCE SUB-ACCOUNTS AWAY FROM THE FIRM.

Initiated By:

STATE OF NEW JERSEY - BUREAU OF SECURITIES



Date Initiated: 06/01/2007
Docket/Case Number:
Principal Product Type: Mutual Fund(s)
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Cease and Desist
Other Sanction(s)/Relief Sought: CIVIL MONETARY PENALTY IN THE AMOUNT OF \$5 MILLION.
Resolution: Order
Resolution Date: 06/01/2007
Sanctions Ordered: Monetary/Fine \$5,000,000.00
 Cease and Desist/Injunction
Other Sanctions Ordered:
Sanction Details: THE STATE OF NEW JERSEY BUREAU OF SECURITIES ORDER REQUIRED THAT CGMI CEASE AND DESIST FROM FURTHER VIOLATION OF THE SECURITIES LAWS AND FURTHER ORDERED THAT CGMI PAY A CIVIL MONETARY PENALTY IN THE AMOUNT OF \$5 MILLION.
Summary: CGMI CONSENTED TO THE ENTRY OF THE ORDER WITHOUT ADMITTING OR DENYING THE BUREAU'S FINDINGS OF FACT OR CONCLUSIONS AND SOLELY FOR THE PURPOSE OF RESOLVING THIS MATTER WITHOUT THE EXPENSE AND DELAY THAT FORMAL ADMINISTRATIVE PROCEEDINGS WOULD INVOLVE. THE CIVIL MONETARY PENALTY WAS PAID IN JUNE 2007.

Disclosure 9 of 282
Reporting Source: Regulator
Current Status: Final
Allegations: **7/3/07**STIPULATION AND CONSENT TO PENALTY FILED BY NYSE REGULATION, INC.'S DIVISION OF ENFORCEMENT AND PENDING
 HEARING BOARD APPROVAL.
 CITIGROUP GLOBAL MARKETS, INC. (THE "FIRM") CONSENTED TO FINDINGS THAT IT: (1) VIOLATED NYSE RULE 421 IN THAT, FOR UPWARDS OF 10 YEARS, THE FIRM SUBMITTED TO THE NYSE INACCURATE REPORTS OF SHORT POSITIONS IN SECURITIES LISTED ON THE NYSE; AND (2) VIOLATED NYSE RULES 342(A) AND (B) IN THAT THE FIRM FAILED TO



SUPERVISION AND CONTROL, INCLUDING AN ADEQUATE SEPARATE SYSTEM OF FOLLOW-UP AND REVIEW, WITH RESPECT TO SHORT INTEREST POSITION REPORTING.

STIPULATED SANCTIONS: THE IMPOSITION BY THE NYSE OF A CENSURE A FINE IN THE AMOUNT OF \$300,000 TO BE PAID JOINTLY TO THE NYSE AND NASD.

NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Initiated By:
Date Initiated: 07/03/2007
Docket/Case Number: HPD#07-121
Principal Product Type: Other

Other Product Type(s):
Principal Sanction(s)/Relief Sought:
Other Sanction(s)/Relief Sought:

Resolution:
Resolution Date: 09/18/2007
Sanctions Ordered: Censure
 Monetary/Fine \$300,000.00

Other Sanctions Ordered:

Sanction Details:

8/23/07HEARING BOARD DECISION ISSUED -- HBD 07-121
 CITIGROUP GLOBAL MARKETS, INC. (THE "FIRM") WAS FOUND GUILTY OF:
 (1) VIOLATING NYSE RULE 421 IN THAT, FOR APPROXIMATELY 10 YEARS, THE FIRM SUBMITTED TO THE NYSE INACCURATE REPORTS OF SHORT POSITIONS IN SECURITIES LISTED ON THE NYSE; AND (2) VIOLATING NYSE RULES 342(A) AND (B) IN THAT THE FIRM FAILED TO ESTABLISH AND MAINTAIN APPROPRIATE PROCEDURES FOR SUPERVISION AND CONTROL, INCLUDING AN ADEQUATE SEPARATE SYSTEM OF FOLLOW-UP AND REVIEW, WITH RESPECT TO SHORT INTEREST POSITION REPORTING. AN OFFICER OF THE HEARING BOARD IMPOSED THE PENALTY CONSENTED TO BY CGMI OF A CENSURE AND A \$300,000 FINE, OF WHICH \$150,000 IS TO BE PAID TO THE NYSE AND \$150,000 TO BE PAID TO THE FORMER NASD.

Summary:
 9/18/07DECISION BECAME FINAL AS OF THE CLOSE OF BUSINESS ON SEPTEMBER 17, 2007.
 CONTACT: PEGGY GERMINO 212-656-8450

**Reporting Source:**

Firm

Current Status:

Final

Allegations:

ALLEGATIONS THAT DURING THE PERIOD MAY 1998 THROUGH OCTOBER 2005 (THE "REVIEW PERIOD") CITIGROUP GLOBAL MARKETS INC. ("CGMI") VIOLATED NYSE RULE 4210 BY SUBMITTING INACCURATE REPORTS OF SHORT INTEREST POSITIONS IN CERTAIN SECURITIES LISTED ON THE NYSE. IT WAS FURTHER ALLEGED THAT CGMI VIOLATED NYSE RULES 342(A) AND (B) DUE TO ITS FAILURE DURING THE REVIEW PERIOD TO ESTABLISH AND MAINTAIN APPROPRIATE PROCEDURES FOR SUPERVISION AND CONTROL, INCLUDING AN ADEQUATE SEPARATE SYSTEM OF FOLLOW-UP AND REVIEW, WITH RESPECT TO SHORT INTEREST POSITION REPORTING.

Initiated By:

NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Date Initiated:

09/17/2007

Docket/Case Number:

HEARING BOARD DECISION 07-121

Principal Product Type:

No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Censure

Other Sanction(s)/Relief Sought:

FINE IN THE AMOUNT OF \$150,000

Resolution:

Stipulation and Consent

Resolution Date:

09/17/2007

Sanctions Ordered:

Censure
Monetary/Fine \$150,000.00

Other Sanctions Ordered:**Sanction Details:**

CGMI CONSENTED TO A CENSURE AND A \$150,000 FINE WHICH IS IN CONJUNCTION WITH ANOTHER MATTER BEING RESOLVED CONCOMITANTLY WITH FINRA FOR THE SAME AMOUNT, FOR A COMBINED TOTAL FINE OF \$300,000.

Summary:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AND SOLELY FOR THE PURPOSE OF THIS PROCEEDING AND ANY OTHER PROCEEDING BROUGHT BY OR ON BEHALF OF NYSE REGULATION, INC., OR TO WHICH NYSE REGULATION, INC. IS A PARTY, PRIOR TO HEARING AND WITHOUT AN ADJUDICATION OF ANY ISSUE OF LAW OR FACT, CGMI CONSENTED TO



A CENSURE AND A FINE OF \$150,000 AS DESCRIBED ABOVE.

Disclosure 10 of 282

Reporting Source:

Current Status:

Allegations:

Regulator

Final

SEC RULES 15C2-11, 200(G) OF REGULATION SHO, 604 OF REGULATION NMS, NASD RULES 2110, 3010, 3340, 3370, 6130(D)(4), 6130(D)(6), 6640, 6955(A) INTERPRETATIVE MATERIAL 2110-2 - RESPONDENT MEMBER EFFECTED SHORT SALES IN A COMMON STOCK FOR THE FIRM'S PROPRIETARY ACCOUNT(S) AND FAILED TO MAKE/ANNOTATE AN AFFIRMATIVE DETERMINATION THAT THE FIRM COULD BORROW THE SECURITY OR OTHERWISE PROVIDE FOR DELIVERY OF THE SECURITY BY SETTLEMENT DATE. THE FINDINGS STATED THAT THE FIRM ACCEPTED CUSTOMER SHORT SALE ORDERS IN A SECURITY AND FAILED TO MAKE/ANNOTATE AN AFFIRMATIVE DETERMINATION THAT THE FIRM WOULD RECEIVE DELIVERY OF THE SECURITY ON BEHALF OF THE CUSTOMER OR THAT THE FIRM COULD BORROW THE SECURITY ON BEHALF OF THE CUSTOMER FOR DELIVERY BY SETTLEMENT DATE. THE FINDINGS ALSO STATED THAT THE FIRM FAILED TO DISPLAY IMMEDIATELY CUSTOMER LIMIT ORDERS IN NASDAQ SECURITIES IN ITS PUBLIC QUOTATION WHEN EACH ORDER WAS AT A PRICE THAT WOULD HAVE IMPROVED THE FIRM'S BID OR OFFER IN EACH SECURITY; OR WHEN THE ORDER WAS PRICED EQUAL TO THE FIRM'S BID OR OFFER AND THE NATIONAL BEST BID OR OFFER FOR EACH SECURITY, AND THE SIZE OF THE ORDER REPRESENTED MORE THAN A DE MINIMIS CHANGE IN RELATION TO THE SIZE ASSOCIATED WITH THE FIRM'S BID OR OFFER IN EACH SECURITY. THE FINDINGS ALSO INCLUDED THAT THE FIRM FAILED TO CONTEMPORANEOUSLY OR PARTIALLY EXECUTE CUSTOMER LIMIT ORDERS IN NASDAQ SECURITIES AFTER IT TRADED EACH SUBJECT SECURITY FOR ITS OWN MARKET-MAKING ACCOUNT AT A PRICE THAT WOULD HAVE SATISFIED EACH CUSTOMER'S LIMIT ORDER. NASD FOUND THAT THE FIRM EFFECTED TRANSACTIONS DURING A TRADING HALT INITIATED BY THE NASDAQ STOCK MARKET AND PUBLISHED QUOTATIONS FOR A NON-EXCHANGE-LISTED SECURITY IN THE PINK SHEETS AND DID NOT HAVE IN ITS RECORDS THE DOCUMENTATION REQUIRED BY SEC RULE 15C2-11. ALLEGATIONS CONTINUED IN COMMENTS.

Initiated By:

NASD

Date Initiated:

06/12/2007

Docket/Case Number:

20041000048-01

Principal Product Type:

Other

**COMMON STOCK****Other Product Type(s):****Principal Sanction(s)/Relief Sought:****Other Sanction(s)/Relief Sought:****Resolution:**

Acceptance, Waiver & Consent(AWC)

Resolution Date:

06/12/2007

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Sanctions Ordered:Censure
Monetary/Fine \$87,000.00**Other Sanctions Ordered:**

UNDERTAKING

Sanction Details:

WITHOUT ADMITTING OR DENYING THE FINDINGS, CITIGROUP GLOBAL MARKETS INC., CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, THE FIRM WAS CENSURED, FINED \$87,000 AND REQUIRED TO REVISE ITS WRITTEN SUPERVISORY PROCEDURES REGARDING BEST EXECUTION, THE REPORTING OF SALES TRANSACTIONS AND OATS.

Summary:

ALLEGATIONS CONTINUED: NASD ALSO FOUND THAT THE FIRM FAILED TO FILE A FORM 211 WITH NASD AT LEAST THREE BUSINESS DAYS BEFORE THE FIRM'S QUOTATIONS WERE PUBLISHED OR DISPLAYED IN A QUOTATION MEDIUM AND SUBMITTED TO OATS ROUTE OR COMBINED ORDER/ROUTE REPORTS THAT THE OATS SYSTEM WAS UNABLE TO LINK TO THE CORRESPONDING NEW ORDER SUBMITTED BY THE DESTINATION MEMBER FIRM DUE TO INACCURATE, INCOMPLETE OR IMPROPERLY FORMATTED DATA. IN ADDITION, NASD DETERMINED THAT THE FIRM SUBMITTED TO OATS REPORTABLE ORDER EVENTS (ROES) THAT WERE REJECTED BY OATS FOR CONTEXT OR SYNTAX ERRORS AND FAILED TO TIMELY REPORT TO OATS ROES. MOREOVER, THE FINDINGS STATED THAT THE FIRM'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH RESPECT TO THE APPLICABLE SECURITIES LAWS, REGULATIONS AND NASD RULES CONCERNING BEST EXECUTION, THE REPORTING OF SALE TRANSACTIONS AND OATS. THE FINDINGS STATED THAT THE FIRM FAILED TO REPORT THE CORRECT TIME OF EXECUTION TO THE ACT N/A/NMC IN LAST SALE REPORTS OF TRANSACTIONS IN DESIGNATED SECURITIES. FURTHERMORE, THE FINDINGS STATED THAT THE FIRM



FAILED TO REPORT TO SUPERMONTAGE THE CORRECT SYMBOL INDICATING WHETHER THE TRANSACTION WAS A SHORT SALE EXEMPT OR SHORT SALE FOR TRANSACTIONS IN REPORTABLE SECURITIES AND FAILED TO PROPERLY MARK PROPRIETARY SELL ORDERS WITH A "SHORT EXEMPT" INDICATOR ON ITS TRADING RECORDS.

*****ZHUO*****

Reporting Source:

Firm

Current Status:

Final

Allegations:

ALLEGATIONS STEMMING FROM NINE NASD INQUIRIES AND EXAMS DURING THE PERIOD 01/01/2004 - 07/31/2006 ALLEGING: 1) VIOLATIONS OF NASD CONDUCT RULE 3370 FOR SHORT SELL VIOLATIONS; 2) VIOLATION OF NASD CONDUCT RULE 2110 AND IM-2110-2 FOR LIMIT ORDER PROTECTION VIOLATIONS; 3) VIOLATIONS OF NASD CONDUCT RULES 2110 AND 3340 FOR VIOLATING PROHIBITIONS AGAINST TRADING DURING A HALT; 4) VIOLATION OF SEC RULE 604 OF REGULATION NMS FOR LIMIT ORDER DISPLAY VIOLATIONS; 5) VIOLATION OF SEC RULE 15C2-11(A) AND NASD CONDUCT RULE 2110 DUE TO THE FIRM'S FAILURE TO HAVE REQUIRED DOCUMENTATION IN ITS RECORDS; 6) VIOLATIONS OF NASD RULE 6955(A) FOR OATS VIOLATIONS; 7) VIOLATIONS OF NASD MARKETPLACE RULES 6130(D)(4) AND 6130(D)(6); 8) VIOLATIONS OF SEC RULE 200(G) OF REGULATION SHO DUE TO FAILURE TO PROPERLY MARK PROPRIETARY SELL ORDERS; AND 9) VIOLATION OF NASD CONDUCT RULES 2110 AND 3010 DUE TO FAILURE TO PROVIDE SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH RESPECT TO APPLICABLE SECURITIES LAWS AND REGULATIONS AND THE RULES OF THE NASD CONCERNING BEST EXECUTION, THE REPORTING OF SALE TRANSACTIONS AND OATS.

Initiated By:

NASD - MARKET REGULATION DEPT.

Date Initiated:

06/12/2007

Docket/Case Number:

AWC 20041000048-01

Principal Product Type:

Equity - OTC

Other Product Type(s):

Censure

Principal Sanction(s)/Relief Sought:

FINE IN THE AMOUNT OF \$87,000; UNDERTAKING.

Other Sanction(s)/Relief Sought:**Resolution:**

Acceptance, Waiver & Consent(AWC)

Resolution Date:

06/12/2007

Sanctions Ordered:

Censure
Monetary/Fine \$87,000.00

Other Sanctions Ordered:

UNDERTAKING

Sanction Details:

CGMI CONSENTED TO THE IMPOSITION OF A CENSURE, A FINE OF \$87,000 (CONSISTING OF A \$10,000 FINE FOR THE LIMIT ORDER PROTECTION VIOLATIONS, \$5,000 FOR THE NASD RULE 3370 VIOLATIONS, \$10,000 FOR VIOLATING THE PROHIBITIONS AGAINST TRADING DURING A HALT, \$15,000 FOR TRADE REPORTING VIOLATIONS, \$15,000 FOR THE OATS VIOLATIONS, \$12,000 FOR THE SEC RULE 11AC1-4 (NOW SEC RULE 604) VIOLATIONS, \$5,000 FOR THE SEC RULE 15C2-11 AND NASD RULE 6740 VIOLATIONS, \$5,000 FOR THE SEC RULE 200(G) UNDER REGULATION SHO VIOLATIONS, \$10,000 FOR THE SUPERVISORY VIOLATIONS).

Summary:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS AND SOLELY FOR THE PURPOSES OF THIS PROCEEDING AND ANY OTHER PROCEEDING BROUGHT BY OR ON BEHALF OF THE NASD, OR TO WHICH NASD IS A PARTY, PRIOR TO HEARING AND WITHOUT AN ADJUDICATION OF ANY ISSUE OF LAW OR FACT CGMI CONSENTED TO A CENSURE, A FINE OF \$87,000 AND DISGORGEMENT.

Disclosure 11 of 282

Reporting Source:

Regulator

Current Status:

Final

Allegations:

NASD RULES 2110, 2210(B)(1), 2210(B)(2)(A), 2210(C)(2)(A), 2210(D)(1) AND 3010: THE FIRM PREPARED AND/OR USED MATERIALS AT SEMINARS AND AT FACE-TO-FACE MEETINGS THAT WERE NOT FAIR AND BALANCED, CONTAINED MISLEADING CLAIMS, EXAGGERATIONS AND UNWARRANTED PROJECTIONS. THESE MATERIALS CONSTITUTED COMMUNICATIONS WITH THE PUBLIC AS DEFINED BY NASD RULE 2110. THE FIRM FAILED TO HAVE A REGISTERED PRINCIPAL APPROVE SALES LITERATURE PRIOR TO USE; FAILED TO RETAIN RECORDS SHOWING WHICH SALES MATERIALS WERE DISSEMINATED TO CUSTOMERS, WHICH PRINCIPAL APPROVED THE ITEMS AND THE DATE OF THE APPROVAL; DISSEMINATED CERTAIN MARKETING MATERIAL THAT IDENTIFIED THE SPECIFIC RECOMMENDED MUTUAL FUNDS THAT NEEDED TO BE FILED WITH NASD ADVERTISING WITHIN 10 DAYS OF FIRST USE; AND FAILED TO ADEQUATELY SUPERVISE THE ACTIVITIES OF BROKERS BY NOT FOLLOWING-UP ON RED FLAGS AND DID NOT ADEQUATELY CARRY OUT THEIR RESPECTIVE SUPERVISORY RESPONSIBILITIES WITH AN EYE TO PREVENTING THE BROKERS' VIOLATIONS.

Initiated By:

NASD



Date Initiated: 06/06/2007
Docket/Case Number: 2005000760101
Principal Product Type: Mutual Fund(s)
Other Product Type(s):
Principal Sanction(s)/Relief Sought:
Other Sanction(s)/Relief Sought:
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 06/06/2007
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No
Sanctions Ordered: Censure
 Monetary/Fine \$3,000,000.00
 Disgorgement/Restitution
Other Sanctions Ordered:
Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE THE FIRM IS CENSURED, FINED \$3 MILLION AND REQUIRED TO PAY 12.2 MILLION IN RESTITUTION.
Reporting Source: Firm
Current Status: Final
Allegations: ALLEGED VIOLATION OF NASD COJDUCT RULE 2210(D)(1) FOR USING MISLEADING MATERIALS IN SEMINARS FOR BELL SOUTH EMPLOYEES DURING THE PERIOD 1994 THOUGH 2002 (THE 'RELEVANT TIME PERIOD'); ALLEGED VIOLATION OF NASD CONDUCT RULE 2210(B)(2)(A) AND 2110 DUE TO FAILURE TO RETAIN CERTAIN RECORDS OF SALES MATERIALS DURING THE RELEVANT TIME PERIOD; ALLEGED VIOLATION OF NASD CONDUCT RULE 3010 DUE TO THE FAILURE OF CITIGROUP GLOBAL MARKETS INC. ("CGMI") TO SUPERVISE DURING THE RELEVANT TIME PERIOD THE ACTIVITIES OF CERTAIN EMPLOYEES BASED IN CHARLOTTE, NORTH CAROLINA.



Initiated By: NASD
Date Initiated: 06/06/2007
Docket/Case Number: AWC NO. 2005000760101
Principal Product Type: Mutual Fund(s)
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Censure
Other Sanction(s)/Relief Sought: FINE IN THE AMOUNT OF \$3 MILLION; RESTITUTION
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 06/06/2007
Sanctions Ordered: Censure
 Monetary/Fine \$3,000,000.00
 Disgorgement/Restitution
Other Sanctions Ordered: RESTITUTION
Sanction Details: THE RESTITUTION AMOUNT IS ORDERED TO BE PAID IN SATISFACTION OF THE APPROVED SETTLEMENT OF THE NORTH CAROLINA STATE CASE ENTITLED VICTORIA T. MCPHATTER, ET AL. V. CITIGROUP GLOBAL MARKETS, INC. ET AL. (N.C. GUILFORD COUNTY SUPERIOR COURT, CASE #03 CVS 3555).
Summary: PRIOR TO A HEARING AND WITHOUT AN ADJUDICATION OF ANY ISSUE OF LAW OR FACT, CGMI CONSENTED TO AN AWC IN WHICH IT NEITHER ADMITTED NOR DENIED VIOLATING NASD RULES 2110, 3010 AND 2110. THE AWC AROSE FROM EVENTS THAT OCCURRED FROM 1994 TO 2002 REGARDING, AMONG OTHER THINGS, CERTAIN BROKERS COMMUNICATIONS WITH EMPLOYEES OF BELL SOUTH CORPORATION.

Disclosure 12 of 282
Reporting Source: Regulator
Current Status: Final
Allegations: **6/12/07**STIPULATION OF FACTS AND CONSENT TO PENALTY EXECUTED AND FILED BY NYSE REGULATION DIVISION OF ENFORCEMENT AND PENDING CONSENTED TO FINDINGS THAT THE FIRM VIOLATED:1.NYSE RULE 342 BY FAILING TO REASONABLY SUPERVISE CERTAIN BUSINESS ACTIVITIES AND TO ESTABLISH AND MAINTAIN APPROPRIATE PROCEDURES FOR SUPERVISION AND CONTROL WITH RESPECT TO THE

EXHIBIT B

Part 1 of 2

JEFFREY A. GAPUSAN

CRD# 4443537

Currently employed by and registered with the following FINRA Firms:

CANTOR FITZGERALD & CO.
110 EAST 59TH STREET
4TH FLOOR DCM
NEW YORK, NY 10022
CRD# 134

Registered with this firm since: 05/2008

Report Summary for this Broker

The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process. The information contained in this report was last updated by either the broker, a previous employing brokerage firm, or a securities regulator on 05/06/2008.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 8 U.S. states and territories

Is this broker currently suspended or inactive with any regulator? No

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration and Employment History

This broker was previously registered with the following FINRA firms:

CITIGROUP GLOBAL MARKETS INC.
CRD# 7059
10/2001 - 03/2008

For additional registration and employment history details as reported by the broker, refer to the Registration and Employment History section of this report.



Disclosure of Customer Disputes, Disciplinary, and Regulatory Events

This section includes details regarding disclosure events reported by or about this broker to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions initiated by regulators, customer disputes, certain criminal charges and/or convictions, as well as financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this broker? Yes

The following types of disclosures were reported:

Criminal

4443537 - GAPUSAN, JEFFREY ALAN
Reportable Events
Regulator Archive and Z Records

3
11
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CRD® or IARD(SM) System - Current As Of 06/19/2008 11:40 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: Florida

Request Submitted: 06/20/2008

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Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(SM) System - Current As Of 06/19/2008 11:40 PM
Snapshot - Individual
CRD® or IARD(SM) System Report provided to: Florida
Request Submitted: 06/20/2008

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Details for Request# 4718397
Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	4443537
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
User Initials	SDT

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 06/19/2008 11:40 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: Florida

Request Submitted: 06/20/2008

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Administrative Information:

Composite Information:

Full Legal Name: GAPUSAN, JEFFREY ALAN

Year of Birth: 1970

State of Residence: NJ

Current Employing Firm: CANTOR FITZGERALD & CO. (134)

Firm Main Address: 110 EAST 59TH STREET, 4TH FLOOR
 NEW YORK
 NY, UNITED STATES
 10022

Firm Mailing Address: 110 EAST 59TH STREET, 4TH FLOOR
 NEW YORK
 NY, UNITED STATES
 10022

Business Telephone #: 212-938-5000

Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code	Firm Billing Code	Address Start Date	Address End Date	Address
256861			05/05/2008		110 EAST 59TH STREET 4TH FLOOR DCM NEW YORK, NY 10022 UNITED STATES

Registered Location? Y Type of Office: Located At

Reportable Disclosures? Yes

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 4443537

Other Names Known By: GAPUSAN, JEFF

Year of Birth: 1970

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 06/19/2008 11:40 PM

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: Florida

Request Submitted: 06/20/2008

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Administrative Information:

Registrations with Current Employer(s):

From 05/05/2008 To Present: CANTOR FITZGERALD & CO.(134)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	05/09/2008	APPROVED	05/09/2008
CO	AG	05/07/2008	APPROVED	05/07/2008
CT	AG	05/14/2008	APPROVED	05/14/2008
DC	AG	05/09/2008	APPROVED	05/09/2008
FINRA	ET	05/08/2008	APPROVED	05/05/2008
FINRA	GS	05/08/2008	APPROVED	05/05/2008
FL	AG	05/09/2008	APPROVED	05/09/2008
MA	AG	05/09/2008	APPROVED	05/09/2008
NJ	AG	05/08/2008	APPROVED	05/08/2008
NY	AG	05/09/2008	APPROVED	05/09/2008

Registrations with Previous Employer(s):

From 08/01/2001 To 03/17/2008 CITIGROUP GLOBAL MARKETS INC.(7059)

Reason for Termination: * Other

Termination Comment: STAFF REDUCTION

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	03/28/2008	TERMED	04/22/2002
AL	AG	03/28/2008	TERMED	04/26/2002
AMEX	GS	03/28/2008	TERMED	11/28/2001
AR	AG	03/28/2008	TERMED	04/17/2002
ARCA	GS	03/28/2008	TERMED	10/02/2001
AZ	AG	03/28/2008	TERMED	05/16/2002
CA	AG	03/28/2008	TERMED	04/17/2002
CBOE	GS	03/28/2008	TERMED	10/02/2001
CO	AG	03/28/2008	TERMED	04/18/2002
CT	AG	03/28/2008	TERMED	04/19/2002
DC	AG	03/28/2008	TERMED	04/25/2002

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
DE	AG	03/28/2008	TERMED	04/18/2002
FINRA	ET	03/28/2008	TERMED	11/06/2001
FINRA	GS	03/28/2008	TERMED	10/02/2001
FL	AG	03/28/2008	TERMED	04/18/2002
GA	AG	03/28/2008	TERMED	04/19/2002
HI	AG	03/28/2008	TERMED	04/17/2002
IA	AG	03/28/2008	TERMED	04/18/2002
ID	AG	03/28/2008	TERMED	04/18/2002
IL	AG	03/28/2008	TERMED	04/22/2002
IN	AG	03/28/2008	TERMED	04/22/2002
KS	AG	03/28/2008	TERMED	04/17/2002
KY	AG	03/28/2008	TERMED	04/22/2002
LA	AG	03/28/2008	TERMED	04/19/2002
MA	AG	03/28/2008	TERMED	04/22/2002
MD	AG	03/28/2008	TERMED	04/18/2002
ME	AG	03/28/2008	TERMED	04/18/2002
MI	AG	03/28/2008	TERMED	04/30/2002
MN	AG	03/28/2008	TERMED	04/18/2002
MO	AG	03/28/2008	TERMED	04/18/2002
MS	AG	03/28/2008	TERMED	04/17/2002
MT	AG	03/28/2008	TERMED	04/17/2002
NC	AG	03/28/2008	TERMED	04/17/2002
ND	AG	03/28/2008	TERMED	04/24/2002
NE	AG	03/28/2008	TERMED	04/23/2002
NH	AG	03/28/2008	TERMED	04/17/2002
NJ	AG	03/28/2008	TERMED	04/19/2002
NM	AG	03/28/2008	TERMED	04/24/2002
NQX	ET	03/28/2008	TERMED	07/12/2006
NQX	GS	03/28/2008	TERMED	07/12/2006
NV	AG	03/28/2008	TERMED	04/26/2002
NY	AG	03/28/2008	TERMED	11/10/2001
NYSE	GS	03/28/2008	TERMED	11/28/2001
OH	AG	03/28/2008	TERMED	04/18/2002

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Snapshot - Individual

CRD® or IARD(SM) System Report provided to: Florida

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
OK	AG	03/28/2008	TERMED	04/18/2002
OR	AG	03/28/2008	TERMED	04/22/2002
PA	AG	03/28/2008	TERMED	04/17/2002
PHLX	GS	03/28/2008	TERMED	10/02/2001
PR	AG	03/28/2008	TERMED	04/19/2002
RI	AG	03/28/2008	TERMED	04/17/2002
SC	AG	03/28/2008	TERMED	04/18/2002
SD	AG	03/28/2008	TERMED	04/17/2002
TN	AG	03/28/2008	TERMED	04/19/2002
TX	AG	03/28/2008	TERMED	04/17/2002
UT	AG	03/28/2008	TERMED	04/17/2002
VA	AG	03/28/2008	TERMED	04/18/2002
VT	AG	03/28/2008	TERMED	04/18/2002
WA	AG	03/28/2008	TERMED	04/17/2002
WI	AG	03/28/2008	TERMED	04/17/2002
WV	AG	03/28/2008	TERMED	04/17/2002
WY	AG	03/28/2008	TERMED	04/17/2002

Professional Designations:

<< None found for this Individual: GAPUSAN, JEFFREY ALAN >>

Employment History:

From 05/2008 To Present:	Name: CANTOR FITZGERALD & CO
	Location: NEWYORK, NY USA
	Position: BROKER
	Investment Related: Yes
From 08/2001 To 03/2008	Name: CITIGROUP GLOBAL MARKETS INC.
	Location: NEW YORK, NY
	Position: ASSOCIATE CLASS OF 2001
	Investment Related: Yes

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Administrative Information:

Employment History (cont) :

From 05/1992 To 08/2001 Name: UNITED STATES NAVY
 Location: WASHINGTON, DC USA
 Position: NAVAL FLIGHT OFFICER
 Investment Related: No

From 08/1991 To 05/1992 Name: UNIVERSITY OF NORTH CAROLINA
 Location: CHAPEL HILL, NC USA
 Position: FULL TIME STUDENT
 Investment Related: No

Office of Employment History:

From 05/2008 To Present:

Name: CANTOR FITZGERALD & CO. (134)
 Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code	Firm Number	Billing Code	Address Start Date	Address End Date	Address
256861				05/05/2008		110 EAST 59TH STREET 4TH FLOOR DCM NEW YORK, NY 10022 UNITED STATES
				Registered Location?	Y	Type of Office: Located At

From 08/2001 To 03/2008

Name: CITIGROUP GLOBAL MARKETS INC. (7059)
 Independent Contractor: No

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Administrative Information:

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Code	Billing Code	Address Start Date	Address End Date	Address Address
89239	MNOFC-0	MNOFC-0		08/01/2001	03/17/2008	390 GREENWICH STREET 388 GREENWICH STREET NEW YORK, NY 10013 UNITED STATES
				Registered Location?	Y	Type of Office: Located At
				50126	08/01/2001	03/28/2006 390 GREENWICH STREET NEW YORK, NY 10013
				Registered Location?	N	Type of Office: Located At

Other Business:

<<No Other Business found for this Individual.>>

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S3	OFFICIAL_RESULT	10/12/2001	10/11/2001	PASSED	91	08/30/2001-12/28/2001
S55	OFFICIAL_RESULT	11/06/2001	11/05/2001	PASSED	74	08/30/2001-12/28/2001
S63	OFFICIAL_RESULT	10/23/2001	10/22/2001	PASSED	80	08/30/2001-12/28/2001
S7	OFFICIAL_RESULT	10/02/2001	10/01/2001	PASSED	88	09/29/2001-01/27/2002

CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 10/02/2001

Current CE

<<No Current CE Session Found >>

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Administrative Information:

Next CE

Requirement Window	Requirement Type	Session
10/02/2009-01/29/2010	Anniversary	101

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Status	Previous Window	Session	Status Date	Result
Anniversary	REQUIRED	10/02/2003-01/29/2004	101	10/02/2003	10/02/2003-
Anniversary	SATISFIED	10/02/2003-01/29/2004	101	11/05/2003	11/05/2003- CMPLT
Anniversary	REQUIRED	10/02/2006-01/29/2007	101	10/02/2006	10/02/2006-
Anniversary	SATISFIED	10/02/2006-01/29/2007	101	11/29/2006	11/29/2006- CMPLT

Filing History:

Filing Date	Form Type	Filing Type	Source
05/06/2008	U4	AMENDMENT	Org CRD# 134 CANTOR FITZGERALD & CO.
05/05/2008	U4	INITIAL	Org CRD# 134 CANTOR FITZGERALD & CO.
03/28/2008	U5	FULL	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
10/09/2007	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
02/08/2007	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
07/29/2006	U4	CONVERSION	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
03/28/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
01/24/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
07/27/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
04/18/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
03/17/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
03/16/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
01/25/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
09/09/2004	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
04/17/2002	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
04/17/2002	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
04/17/2002	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
02/15/2002	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
02/15/2002	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
09/28/2001	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
08/29/2001	U4	INITIAL	Org CRD# 7059 SALOMON SMITH BARNEY INC.

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Reportable Events:

Number of Reportable Events:

Bankruptcy:	0
Bond:	0
Civil Judicial:	0
Criminal:	1
Customer Complaint:	0
Internal Review:	0
Investigation:	0
Judgment/Lien:	0
Regulatory Action:	0
Termination:	0

Occurrence:	1028294	Disclosure Type:	Criminal
FINRA Public Disclosable:	Y	Reportable:	Y
Material Difference in Disclosure:	N		

Rev. Form U-4 (08/1999)

Form:	U-4	Received:	08/29/2001
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Source: Organization CRD# 7059

Questions: 23B(1)(b)

Criminal DRP Content

1. Organization:
2. Charges brought in:

GENERAL COURT OF JUSTICE, DISTRICT COURT DIVISION OF ORANGE & CHATHAM COUNTIES HILLSBOROUGH, NC CASE #: 91CR3297
3. Event Disclosure Detail

(A) Date First Charged/Explanation:	12/18/1990
(B) Event Disclosure Detail:	
NORTH CAROLINA CODE GS 20-30: TO DISPLAY IDENTIFICATION KNOWING SAME TO BE ALTERED 1. ONE COUNT 2. MISDEMEANOR 3. GUILTY	
(C) Involve a felony:	N
(D) Current Status:	Final
(E) Event Status Date/Explanation:	04/03/1991
4. Disposition Disclosure Detail:

A. DEFERRED PROSECUTION	B. 04/03/1991	C. \$50 FINE, 50 HOURS
COMMUNITY SERVICE	D. N/A	E. 04/03/1991
	F. \$50	G. 04/03/1991
5. Comment:

ON DECEMBER 18, 1990, I ATTEMPTED TO ENTER A BAR IN CHAPEL HILL, NC WHILE UNDER THE AGE OF 21. I WAS DETAINED BY NORTH CAROLINA ALCOHOL LAW ENFORCEMENT AND CHARGED WITH CODE VIOLATION GS 20-30,

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Reportable Events:

TO DISPLAY IDENTIFICATION KNOWING SAME TO BE ALTERED.
SUBSEQUENTLY, I APPEARED IN DISTRICT COURT ON 04/03/1991 AND
OFFERED DEFERRED PROSECUTION. ACCEPTED THIS AND PAID \$50 FINE
AND COMPLETED 50 HOURS COMMUNITY SERVICE AT THE UNIVERSITY OF
NORTH CAROLINA.

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Individual: 4443537 - GAPUSAN, JEFFREY ALAN

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

DONALD QUINTIN**CRD# 2641751**

Currently employed by and registered with the following FINRA Firms:

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 2 - 4 WORLD FINANCIAL CENTER
 NEW YORK, NY 10080
 CRD# 7691

Registered with this firm since: 12/2007

Report Summary for this Broker

The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process. The information contained in this report was last updated by either the broker, a previous employing brokerage firm, or a securities regulator on 02/29/2008.



Broker Qualifications

This broker is registered with:

- 8 Self-Regulatory Organizations
- 1 U.S. state or territory

Is this broker currently suspended or inactive with any regulator? **No**

This broker has passed:

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Disclosure of Customer Disputes, Disciplinary, and Regulatory Events

This section includes details regarding disclosure events reported by or about this broker to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions initiated by regulators, customer disputes, certain criminal charges and/or convictions, as well as financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this broker? **No**

Registration and Employment History

This broker was previously registered with the following FINRA firms:

CITIGROUP GLOBAL MARKETS INC.

CRD# 7059

01/2000 - 11/2007

For additional registration and employment history details as reported by the broker, refer to the Registration and Employment History section of this report.

2641751 - QUINTIN, DONALD	3
Reportable Events	15
Regulator Archive and Z Records	16

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Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

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Details for Request# 4718401
Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	2641751
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
User Initials	SDT

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Composite Information:

Full Legal Name: QUINTIN, DONALD

Year of Birth: 1972

State of Residence: NY

Current Employing Firm: MERRILL LYNCH, PIERCE, FENNER & SMITH

INCORPORATED (7691)

Firm Main Address: 4 WORLD FINANCIAL CENTER
NEW YORK
NY, UNITED STATES
10281

Firm Mailing Address: ATTN: MARLA MOSKOWITZ-HESSE
222 BROADWAY, 16TH FLOOR
NEW YORK
NY, UNITED STATES
10038

Business Telephone #: 212-449-1000

Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address
289073	080-3LF	080-3LF	11/01/2007		2 - 4 WORLD FINANCIAL CENTER NEW YORK, NY 10080 UNITED STATES

Registered Location? Y Type of Office: Located At

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information:

Individual CRD#: 2641751

Other Names Known By: QUINTIN, DONALD JOHN

Year of Birth: 1972

Registrations with Current Employer(s):

From 11/01/2007 To Present: MERRILL LYNCH, PIERCE, FENNER & SMITH
 INCORPORATED(7691)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	12/12/2007	APPROVED	12/12/2007
ARCA	GS	12/12/2007	APPROVED	12/12/2007
CBOE	GS	12/12/2007	APPROVED	12/12/2007
FINRA	GP	02/29/2008	DEFICIENT	
FINRA	GS	12/12/2007	APPROVED	12/12/2007
ISE	GS	01/28/2008	APPROVED	01/28/2008
NQX	GS	12/12/2007	APPROVED	12/12/2007
NY	AG	12/12/2007	APPROVED	12/12/2007
NYSE	GS	12/12/2007	APPROVED	12/12/2007
PHLX	GS	12/12/2007	APPROVED	12/12/2007

Registrations with Previous Employer(s):

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Registrations with Previous Employer(s) (cont):

From 04/21/1997 To 10/28/2007

CITIGROUP GLOBAL MARKETS INC.(7059)

Reason for Termination:

Voluntary

Termination Comment:

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	11/15/2007	TERMED	05/27/2004
AL	AG	11/15/2007	TERMED	05/27/2004
AMEX	GS	11/15/2007	TERMED	01/05/2000
AMEX	GS	11/15/2007	T_NOREG	
AR	AG	11/15/2007	TERMED	05/27/2004
ARCA	GP	11/15/2007	T_NOREG	
ARCA	GS	11/15/2007	T_NOREG	
ARCA	GS	11/15/2007	TERMED	01/05/2000
AZ	AG	11/15/2007	TERMED	05/27/2004
CA	AG	11/15/2007	TERMED	05/27/2004
CBOE	GS	11/15/2007	TERMED	01/05/2000
CBOE	GS	11/15/2007	T_NOREG	
CO	AG	11/15/2007	TERMED	05/27/2004
CT	AG	11/15/2007	TERMED	05/27/2004
DC	AG	11/15/2007	TERMED	05/27/2004
DE	AG	11/15/2007	TERMED	05/27/2004
FINRA	GP	11/15/2007	T_NOREG	
FINRA	GS	11/15/2007	TERMED	01/05/2000
FINRA	GS	11/15/2007	T_NOREG	
FL	AG	11/15/2007	TERMED	05/27/2004
GA	AG	11/15/2007	TERMED	05/27/2004
HI	AG	11/15/2007	TERMED	05/27/2004
IA	AG	11/15/2007	TERMED	05/27/2004
ID	AG	11/15/2007	TERMED	05/27/2004
IL	AG	11/15/2007	TERMED	05/27/2004
IN	AG	11/15/2007	TERMED	05/27/2004
KS	AG	11/15/2007	TERMED	05/27/2004
KY	AG	11/15/2007	TERMED	05/27/2004

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EXHIBIT B

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
LA	AG	11/15/2007	TERMED	06/01/2004
MA	AG	11/15/2007	TERMED	05/27/2004
MD	AG	11/15/2007	TERMED	05/27/2004
ME	AG	11/15/2007	TERMED	05/27/2004
MI	AG	11/15/2007	TERMED	05/27/2004
MN	AG	11/15/2007	TERMED	05/27/2004
MO	AG	11/15/2007	TERMED	05/27/2004
MS	AG	11/15/2007	TERMED	05/27/2004
MT	AG	11/15/2007	TERMED	05/27/2004
NC	AG	11/15/2007	TERMED	05/27/2004
ND	AG	11/15/2007	TERMED	05/27/2004
NE	AG	11/15/2007	TERMED	05/27/2004
NH	AG	11/15/2007	TERMED	05/27/2004
NJ	AG	11/15/2007	TERMED	05/27/2004
NM	AG	11/15/2007	TERMED	05/27/2004
NQX	GP	11/15/2007	T_NOREG	
NQX	GS	11/15/2007	TERMED	07/12/2006
NV	AG	11/15/2007	TERMED	05/27/2004
NY	AG	11/15/2007	TERMED	04/22/2003
NY	AG	05/23/2002	T_NOREG	
NYSE	GS	11/15/2007	TERMED	01/05/2000
NYSE	GS	11/15/2007	T_NOREG	
OH	AG	11/15/2007	TERMED	05/28/2004
OK	AG	11/15/2007	TERMED	05/27/2004
OR	AG	11/15/2007	TERMED	05/27/2004
PA	AG	11/15/2007	TERMED	05/27/2004
PHLX	GS	11/15/2007	TERMED	01/05/2000
PHLX	GS	11/15/2007	T_NOREG	
PR	AG	11/15/2007	TERMED	05/27/2004
RI	AG	11/15/2007	TERMED	05/27/2004
SC	AG	11/15/2007	TERMED	05/27/2004
SD	AG	11/15/2007	TERMED	05/27/2004
TN	AG	11/15/2007	TERMED	05/27/2004

CRD® or IARD(SM) System - Current As Of 06/19/2008 11:40 PM
 Snapshot - Individual

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
TX	AG	11/15/2007	TERMED	05/27/2004
UT	AG	11/15/2007	TERMED	05/27/2004
VA	AG	11/15/2007	TERMED	05/27/2004
VT	AG	11/15/2007	TERMED	05/27/2004
WA	AG	11/15/2007	TERMED	05/27/2004
WI	AG	11/15/2007	TERMED	05/27/2004
WV	AG	11/15/2007	TERMED	05/27/2004
WY	AG	11/15/2007	TERMED	05/27/2004

Professional Designations:

<< None found for this Individual: QUINTIN, DONALD >>

Employment History:

From 11/2007 To Present: Name: MERRILL LYNCH
 Location: NEW YORK, NY USA
 Position: MANAGING DIRECTOR
 Investment Related: Yes

From 04/1997 To Present: Name: CITIGROUP GLOBAL MARKETS INC.
 Location: NEW YORK, NY
 Position: SPECIALIST
 Investment Related: Yes

From 04/1997 To 11/2007 Name: CITIGROUP GLOBAL MARKETS/SALOMON
 BROTHERS
 Location: NEW YORK, NY USA
 Position: MANAGING DIRECTOR
 Investment Related: Yes

From 08/1995 To 03/1997 Name: BANKERS TRUST
 Location: NY, NY
 Position: OTHER - ANALYST
 Investment Related: No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Snapshot - Individual

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Employment History (cont) :

From 07/1995 To 08/1995 Name: OPPENHEIMER
 Location: NY, NY
 Position: OTHER - ANALYST
 Investment Related: No

From 06/1994 To 07/1995 Name: BROWN & WOOD
 Location: NY, NY
 Position: OTHER - PARALEGAL CORP FIN.
 Investment Related: No

From 08/1990 To 05/1994 Name: ST. LAWRENCE UNIVERSITY
 Location: CANTON, NY
 Position: STUDENT - STUDENT
 Investment Related: No

From 09/1986 To 06/1990 Name: ESSEX JUNCTION H.S
 Location: ESSEX, NY
 Position: STUDENT
 Investment Related: No

Office of Employment History:

From 11/2007 To Present:

Name: MERRILL LYNCH, PIERCE, FENNER & SMITH
 INCORPORATED (7691)
 Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address
289073	080-3LF	080-3LF	11/01/2007		2 - 4 WORLD FINANCIAL CENTER NEW YORK, NY 10080 UNITED STATES
			Registered Location?	Y	Type of Office: Located At

 CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Office of Employment History (cont):

From 04/1997 To 10/2007

Name: CITIGROUP GLOBAL MARKETS INC. (7059)

Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address Address
89239	MNOFC-0	MNOFC-0	04/21/1997	10/28/2007	390 GREENWICH STREET 388 GREENWICH STREET NEW YORK, NY 10013 UNITED STATES

Registered Location? Y Type of Office: Located At

500UY	04/21/1997	03/28/2006	390 GREENWICH STREET NEW YORK, NY 10013
-------	------------	------------	--

Registered Location? N Type of Office: Located At

From 07/1995 To 08/1995

Name: OPPENHEIMER & CO., INC. (630)

Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address Address
			07/18/1995	08/01/1995	ONE WORLD FINANCIAL CENTER 200 LIBERTY STREET NEW YORK, NY 10281

Registered Location? N Type of Office:

Other Business:

<<No Other Business found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S24	OFFICIAL_RESULT	06/17/2008	06/16/2008	NO_SHOW		03/01/2008-06/29/2008
S24	SCHEDULED	06/17/2008				03/01/2008-06/29/2008
S24	OFFICIAL_RESULT	04/23/2008	04/22/2008	NO_SHOW		03/01/2008-06/29/2008
S24	EXPIRED	08/28/2006				04/27/2006-08/25/2006
S24	EXPIRED	06/03/2005				02/02/2005-06/02/2005
S63	OFFICIAL_RESULT	04/21/2003	04/18/2003	PASSED	88	01/23/2003-05/23/2003
S63	EXPIRED	05/29/2000				01/28/2000-05/27/2000
S7	OFFICIAL_RESULT	01/05/2000	01/04/2000	PASSED	89	10/04/1999-02/01/2000
S7	EXPIRED	09/08/1999				06/08/1999-09/08/1999

CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 01/05/2000

Current CE

<<No Current CE Session Found >>

Next CE

Requirement Window	Requirement Type	Session
01/05/2011-05/04/2011	Anniversary	101

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Status	Previous Window	Session	Status Date	Result
Anniversary	REQUIRED	01/05/2002-05/04/2002	101	01/05/2002	01/05/2002-

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Previous CE Requirement Status (cont)

Requirement Type	Status	Previous Window	Session	Status Date	Result
Anniversary	SATISFIED	01/05/2002-05/04/2002	101	02/15/2002	02/15/2002-CMPLT
Anniversary	REQUIRED	01/05/2005-05/04/2005	101	01/05/2005	01/05/2005-
Anniversary	SATISFIED	01/05/2005-05/04/2005	101	03/03/2005	03/03/2005-CMPLT
Anniversary	REQUIRED	01/05/2008-05/03/2008	101	01/07/2008	01/07/2008-
Anniversary	SATISFIED	01/05/2008-05/03/2008	101	04/22/2008	04/22/2008-CMPLT

Filing History:

Filing Date	Form Type	Filing Type	Source
02/29/2008	U4	AMENDMENT	Org CRD# 7691 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
01/28/2008	U4	AMENDMENT	Org CRD# 7691 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
12/12/2007	U4	RELICENSE	Org CRD# 7691 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
11/15/2007	U5	FULL	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
10/10/2007	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
10/04/2007	NRF	INITIAL	Org CRD# 7691 MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
01/29/2007	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
01/08/2007	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.

 CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
08/16/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
07/29/2006	U4	CONVERSION	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
04/26/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
03/28/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
01/24/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
07/27/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
03/17/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
02/01/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
01/24/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
09/07/2004	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
05/27/2004	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
04/22/2003	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
02/25/2003	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
01/22/2003	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
05/23/2002	U5	PARTIAL	Org CRD# 7059 SALOMON SMITH BARNEY INC.
01/28/2000	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.
01/21/2000	NRF	AMENDMENT	Org CRD# 630 CIBC WORLD MARKETS CORP.
10/04/1999	U4	AMENDMENT	Org CRD# 7059 SALOMON SMITH BARNEY INC.

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
07/05/1999	U4	CONVERSION	Org CRD# 7059 SALOMON SMITH BARNEY INC.

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Individual: 2641751 - QUINTIN, DONALD

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

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Individual: 2641751 - QUINTIN, DONALD

Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Individual: 2641751 - QUINTIN, DONALD

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

Report Summary for this Broker

JAIME REYERO ALDAMA

CRD# 5060751

Currently employed by and registered with the following FINRA Firms:

LEHMAN BROTHERS INC.
745 7TH AVENUE
NEW YORK, NY 10019
CRD# 7506

Registered with this firm since: 11/2007



The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process. The information contained in this report was last updated by either the broker, a previous employing brokerage firm, or a securities regulator on 03/05/2008.

Broker Qualifications

This broker is registered with:

- 8 Self-Regulatory Organizations

- 1 U.S. state or territory

Is this broker currently suspended or inactive with any regulator? No

This broker has passed:

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration and Employment History

This broker was previously registered with the following FINRA firms:

CITIGROUP GLOBAL MARKETS INC.

CRD# 7059

02/2006 - 10/2007

For additional registration and employment history details as reported by the broker, refer to the Registration and Employment History section of this report.

Disclosure of Customer Disputes, Disciplinary, and Regulatory Events

This section includes details regarding disclosure events reported by or about this broker to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions initiated by regulators, customer disputes, certain criminal charges and/or convictions, as well as financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this broker? No

5060751 - REYERO ALDAMA, JAIME
Reportable Events
Regulator Archive and Z Records

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Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

CRD® or IARD(SM) System - Current As Of 06/19/2008 11:40 PM

Snapshot - Individual

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Details for Request# 4718398
Report: Snapshot - Individual

Parameter Name	Value
Request by CRD # or SSN:	CRD #
Individual CRD # or SSN	5060751
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business	Yes
Include Exam Information?	Yes
Include Continuing Education Information?	Yes
Include Filing History?	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information?	Yes
User Initials	SDT

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Snapshot - Individual

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Composite Information:

Full Legal Name: REYERO ALDAMA, JAIME

Year of Birth: 1973

State of Residence: NY

Current Employing Firm: LEHMAN BROTHERS INC. (7506)

Firm Main Address: 745 SEVENTH AVENUE
NEW YORK
NY, UNITED STATES
10019

Firm Mailing Address: 1271 AVENUE OF THE AMERICAS
42ND FLOOR
NEW YORK
NY, UNITED STATES
10020

Business Telephone #: 212-526-7000

Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Billing Code	Address Start Date	Address End Date	Address
81089	00665	FID	11/05/2007		745 7TH AVENUE NEW YORK, NY 10019 UNITED STATES

Registered Location? Y Type of Office: Located At

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

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Snapshot - Individual

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Personal Information:

Individual CRD#: 5060751

Other Names Known By: ALDAMA, JAIME
REYEROALDAMA, JAIME
REYERO, JAIME
REYERO ALDAMA, JAIME
REYERO-ALDAMA, JAMIE

Year of Birth: 1973

Registrations with Current Employer(s):

From 11/05/2007 To Present: LEHMAN BROTHERS INC. (7506)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AMEX	GS	11/06/2007	APPROVED	11/06/2007
ARCA	GS	11/06/2007	APPROVED	11/06/2007
CBOE	GS	11/06/2007	APPROVED	11/06/2007
FINRA	GS	11/06/2007	APPROVED	11/06/2007
ISE	GS	11/08/2007	APPROVED	11/08/2007
NQX	GS	11/06/2007	APPROVED	11/06/2007
NY	AG	11/06/2007	APPROVED	11/06/2007
NYSE	GS	11/06/2007	APPROVED	11/06/2007
PHLX	GS	11/06/2007	APPROVED	11/06/2007

Registrations with Previous Employer(s):

From 07/11/2005 To 10/18/2007 CITIGROUP GLOBAL MARKETS INC. (7059)

Reason for Termination: Voluntary

Termination Comment:

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Snapshot - Individual

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	10/29/2007	TERMED	08/07/2006
AL	AG	10/29/2007	TERMED	08/07/2006
AMEX	GS	10/29/2007	TERMED	02/17/2006
AR	AG	10/29/2007	TERMED	08/07/2006
ARCA	GS	10/29/2007	TERMED	02/17/2006
AZ	AG	10/29/2007	TERMED	08/07/2006
CA	AG	10/29/2007	TERMED	08/07/2006
CBOE	GS	10/29/2007	TERMED	02/17/2006
CO	AG	10/29/2007	TERMED	08/07/2006
CT	AG	10/29/2007	TERMED	08/07/2006
DC	AG	10/29/2007	TERMED	08/07/2006
DE	AG	10/29/2007	TERMED	08/07/2006
FINRA	GS	10/29/2007	TERMED	02/17/2006
FL	AG	10/29/2007	TERMED	08/07/2006
GA	AG	10/29/2007	TERMED	08/07/2006
HI	AG	10/29/2007	TERMED	08/07/2006
IA	AG	10/29/2007	TERMED	08/07/2006
ID	AG	10/29/2007	TERMED	08/07/2006
IL	AG	10/29/2007	TERMED	08/07/2006
IN	AG	10/29/2007	TERMED	08/07/2006
KS	AG	10/29/2007	TERMED	08/07/2006
KY	AG	10/29/2007	TERMED	08/07/2006
LA	AG	10/29/2007	TERMED	08/07/2006
MA	AG	10/29/2007	TERMED	08/07/2006
MD	AG	10/29/2007	TERMED	08/07/2006
ME	AG	10/29/2007	TERMED	08/07/2006
MI	AG	10/29/2007	TERMED	08/07/2006
MN	AG	10/29/2007	TERMED	08/07/2006
MO	AG	10/29/2007	TERMED	08/07/2006
MS	AG	10/29/2007	TERMED	08/07/2006
MT	AG	10/29/2007	TERMED	08/07/2006
NC	AG	10/29/2007	TERMED	08/07/2006

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
ND	AG	10/29/2007	TERMED	08/07/2006
NE	AG	10/29/2007	TERMED	08/07/2006
NH	AG	10/29/2007	TERMED	08/07/2006
NJ	AG	10/29/2007	TERMED	08/07/2006
NM	AG	10/29/2007	TERMED	08/07/2006
NQX	GS	10/29/2007	TERMED	07/12/2006
NV	AG	10/29/2007	TERMED	08/07/2006
NY	AG	10/29/2007	TERMED	04/20/2006
NYSE	GS	10/29/2007	TERMED	02/17/2006
OH	AG	10/29/2007	TERMED	08/08/2006
OK	AG	10/29/2007	TERMED	08/07/2006
OR	AG	10/29/2007	TERMED	08/07/2006
PA	AG	10/29/2007	TERMED	08/07/2006
PHLX	GS	10/29/2007	TERMED	02/17/2006
PR	AG	10/29/2007	TERMED	08/07/2006
RI	AG	10/29/2007	TERMED	08/07/2006
SC	AG	10/29/2007	TERMED	08/07/2006
SD	AG	10/29/2007	TERMED	08/07/2006
TN	AG	10/29/2007	TERMED	08/07/2006
TX	AG	10/29/2007	TERMED	08/07/2006
UT	AG	10/29/2007	TERMED	08/07/2006
VA	AG	10/29/2007	TERMED	08/07/2006
VT	AG	10/29/2007	TERMED	08/07/2006
WA	AG	10/29/2007	TERMED	08/07/2006
WI	AG	10/29/2007	TERMED	08/07/2006
WV	AG	10/29/2007	TERMED	08/07/2006
WY	AG	10/29/2007	TERMED	08/07/2006

Professional Designations:

<< None found for this Individual: REYERO ALDAMA, JAIME >>

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Employment History:

From 11/2007 To Present:	Name: LEHMAN BROTHERS INC Location: NEW YORK, NY Position: SVP Investment Related: Yes
From 07/2005 To 10/2007	Name: CITIGROUP GLOBAL MARKETS INC. Location: NEW YORK, NY USA Position: TRADER Investment Related: Yes
From 08/2003 To 07/2005	Name: CITIGROUP GLOBAL MARKETS Location: LONDON, UK Position: VP Investment Related: Yes
From 01/2002 To 08/2003	Name: JP MORGAN CHASE LONDON Location: LONDON, UK Position: AVP Investment Related: Yes
From 08/2000 To 01/2002	Name: SOCIETE GENERALE Location: LONDON, UK Position: SUPERVISOR Investment Related: Yes
From 12/1999 To 08/2000	Name: SOCIETE GENERALE Location: MADRID, SPAIN Position: SUPERVISOR Investment Related: Yes
From 08/1998 To 08/1999	Name: UNIVERSITY COLLEGE DUBLIN Location: DUBLIN, IRELAND Position: MASTER OF ECONOMICS Investment Related: No
From 08/1994 To 08/1998	Name: UNIVERSITY COLLEGE DUBLIN Location: DUBLIN, IRELAND Position: BACHELOR OF COMMERCE Investment Related: No

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Snapshot - Individual

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Office of Employment History:

From 11/2007 To Present:

Name: LEHMAN BROTHERS INC. (7506)

Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Code	Billing Start Date	Address End Date	Address
81089	00665	FID	11/05/2007		745 7TH AVENUE NEW YORK, NY 10019 UNITED STATES
Registered Location?			Y	Type of Office:	Located At

From 07/2005 To 10/2007

Name: CITIGROUP GLOBAL MARKETS INC. (7059)

Independent Contractor: No

Office of Employment Address:

CRD Branch #	NYSE Branch Code Number	Firm Code	Billing Start Date	Address End Date	Address
89239	MNOFC-0	MNOFC-0	07/11/2005	10/18/2007	390 GREENWICH STREET 388 GREENWICH STREET NEW YORK, NY 10013 UNITED STATES
Registered Location?			Y	Type of Office:	Located At

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Office of Employment Address:

CRD	NYSE Branch Firm Billing	Address	Address
<u>Branch #</u>	<u>Code Number</u> <u>Code</u>	<u>Start Date</u> <u>End Date</u>	<u>Address</u>
BD Main	MNOFC-0	07/11/2005 03/28/2006	390 - 388 GREENWICH STREET NEW YORK, NY 10013-2396 UNITED STATES
	Registered Location?	Y	Type of Office: Located At

Other Business:

<<No Other Business found for this Individual.>>

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL RESULT	03/20/2006	03/17/2006	PASSED	76	12/02/2005-04/01/2006
S7	OFFICIAL RESULT	02/17/2006	02/16/2006	PASSED	84	11/23/2005-03/23/2006

CE Regulatory Element Status:

Current CE Status: SATISFIED

CE Base Date: 02/17/2006

Current CE

<<No Current CE Session Found >>

Next CE

Requirement Window	Requirement Type	Session
02/17/2011-06/16/2011	Anniversary	101

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Status	Previous Window	Session	Status Date	Result
Anniversary	REQUIRED	02/17/2008-06/15/2008	101	02/18/2008	02/18/2008-
Anniversary	SATISFIED	02/17/2008-06/15/2008	101	03/12/2008	03/12/2008- CMPLT

Filing History:

Filing Date	Form Type	Filing Type	Source
03/05/2008	U4	AMENDMENT	Org CRD# 7506 LEHMAN BROTHERS INC.
11/08/2007	U4	AMENDMENT	Org CRD# 7506 LEHMAN BROTHERS INC.
11/06/2007	U4	RELICENSEBD	Org CRD# 7506 LEHMAN BROTHERS INC.
11/05/2007	NRF	INITIAL	Org CRD# 7506 LEHMAN BROTHERS INC.
10/29/2007	U5	FULL	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
10/09/2007	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
08/07/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
07/29/2006	U4	CONVERSION	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
04/21/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
04/20/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Filing History (cont):

Filing Date	Form Type	Filing Type	Source
03/28/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
01/24/2006	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
12/01/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
11/29/2005	U4	AMENDMENT	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.
11/22/2005	U4	INITIAL	Org CRD# 7059 CITIGROUP GLOBAL MARKETS INC.

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Individual: 5060751 - REYERO ALDAMA, JAIME

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

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Individual: 5060751 - REYERO ALDAMA, JAIME

Reportable Events:

<<No Reportable Events found for this Individual.>>

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Individual: 5060751 - REYERO ALDAMA, JAIME

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

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